



*Virginia Department of Rail and
Public Transportation*

DRAFT Grant Program Application Guidance

**FOR PUBLIC TRANSPORTATION AND
TRANSPORTATION DEMAND MANAGEMENT**

A decorative graphic at the bottom of the page consisting of several overlapping, semi-transparent, light blue and grey geometric shapes, resembling stylized cubes or prisms, arranged in a row.

FY 2020

July 1, 2019 – June 30, 2020

CONTENTS

Introduction and Overview	2
OVERVIEW OF GRANT PROGRAMS ADMINISTERED BY DRPT	2
GRANT PROGRAM APPLICATION AND AWARD SCHEDULE	6
Chapter 1 - State Aid Grant Programs.....	7
Section 1.1 Operating Assistance Program	7
Section 1.2 Capital Assistance	12
Section 1.3 Demonstration Project Assistance	25
Section 1.4 Technical Assistance.....	29
Section 1.5 Public Transportation Intern Program.....	32
Section 1.6 Transportation Demand Management (TDM) Operating Assistance.....	35
Section 1.7 Mobility Programs	41
Section 1.8 Senior Transportation Program.....	47
Chapter 2 - Federal Aid Grant Programs	50
Section 2.1 Metropolitan Planning (FTA Section 5303)	52
Section 2.3 Small Urban Areas Program (FTA Section 5307)	56
Section 2.4 Enhanced Mobility of Seniors and Individuals with Disabilities Program (FTA Section 5310)	58
Section 2.5 Rural Areas Program (FTA Section 5311)	73

INTRODUCTION AND OVERVIEW

The Virginia Department of Rail and Public Transportation (DRPT) has prepared the Grant Program Application Guidance document to provide guidance regarding the application process and requirements for various state and federal public transportation, transportation demand management (TDM) and planning grant programs administered by DRPT. This document covers grant funding for programs, projects and services that will begin in fiscal year 2020 (July 1, 2019 – June 30, 2020).

This document is one of several resources available to grant applicants to assist with DRPT's grant application and post-award project management process. Other resources include DRPT's Grants Management Handbook (policies and procedures for grant recipients following the award of a grant) and DRPT's grant workshops held in the spring and fall. These workshops provide potential applicants with information on grant application and management processes and requirements. In addition, DRPT's staff is available anytime during the year to provide technical assistance and answer questions regarding specific grant programs.

OVERVIEW OF GRANT PROGRAMS ADMINISTERED BY DRPT

Grant funds administered by DRPT provide support for transit and TDM programs, projects and services that support DRPT's core mission to facilitate and improve the mobility of the citizens of Virginia and to promote the efficient transport of goods and people in a safe, reliable, and cost-effective manner. DRPT provides funding for transit capital and operating services, TDM program operations and projects, and planning. Capital funding supports long-term transit assets such as vehicles, transit facilities and infrastructure, machinery or heavy equipment. Operating funding supports transit operations, maintenance, repairs and administrative costs, and TDM/commuter assistance program and project operations. Planning funding supports research and studies of public transportation and TDM services, programs, projects and improvements.

This document covers the following DRPT administered State Aid Grant Programs and Federal Aid Grant Programs:

State Aid Grant Programs

- Operating Assistance
- Capital Assistance
- Demonstration Project Assistance
- Technical Assistance
- Public Transportation Intern Program
- Transportation Demand Management (TDM) Operating Assistance
- Mobility Programs (formerly Transportation Management Project Assistance)
- Senior Transportation Program

Federal Aid Grant Programs

- Metropolitan Planning - FTA Section 5303
- Small Urban Areas Program - FTA Section 5307
- Enhanced Mobility of Seniors and Individuals with Disabilities - FTA Section 5310
- Rural Areas - FTA Section 5311

Exhibits 1 and 2 summarize the state and federal programs administered by DRPT and include a brief description of the grant program, eligible recipients and state, federal and local match requirements. More details regarding each grant program are provided in the succeeding sections of this guidance document.

Unless noted otherwise, eligible expenditures for all grant programs are paid on a reimbursement basis. A general synopsis of eligible expenses for each grant program is provided in each grant program section. Instructions and requirements for submitting reimbursement requests to DRPT are provided in DRPT's Grants Management Handbook.

Applications for funding are not officially approved until the Commonwealth Transportation Board (CTB) approves DRPT's Six Year Improvement Program (SYIP), usually at the CTB's June meeting. The funding for approved programs and projects will be available on July 1. However, some federal funding will not be available until October 1.

APPLICATION SUBMISSION PROCEDURES

Applications for funding for all of DRPT's grant programs outlined in this document must be submitted through DRPT's Online Grant Administration ([OLGA](https://olga.drpt.virginia.gov)) website (<https://olga.drpt.virginia.gov>). DRPT will not accept applications in any other manner than through OLGA.

Organizations eligible to receive funding must set up an account and designate a Master User before they can submit an application. An OLGA account can be set up at any time of the year, and it is recommended that new applicants set up an OLGA account prior to the start of the grant application period.

How to Set Up an OLGA Account

To set up an OLGA account go to the [OLGA](https://olga.drpt.virginia.gov) website (<https://olga.drpt.virginia.gov>) and select **Getting Started** from the menu. Follow the instructions to submit a request for an OLGA account. DRPT will notify the Master User designee when the OLGA account has been established, The Master User can then log in to OLGA and complete the account set up, entering agency contact information, add additional users, and set user access and roles. The Master User can make changes to the account, add/delete/edit users and contact information at any time. Instructions on managing the account can be found in the Help section on the OLGA website.

Exhibit 1 DRPT Administered State Aid Grant Programs

State Aid Grant Program	Program Description	Eligible Recipients	Grant Funding & Matching Ratios
Operating Assistance	Supports costs borne by eligible recipients for operating related public transportation expenses	Local and State Government Transportation District Commissions Public Service Corporations	Fluctuates based on amount requested and available funding; last several years, around 20%
Capital Assistance	Supports costs borne by eligible recipients for public transportation capital projects	Local and State Government Transportation District Commissions Public Service Corporations	Up to 96% of eligible expenses using match rates for SGR and expansion and if federal funding applied
Demonstration Project Assistance	Supports innovative investments in all functional areas of public transportation	Local and State Government Transportation District Commissions Public Service Corporations	State Funding: Up to 80% of eligible expenses Local Match: 20%
Technical Assistance	Supports planning or technical assistance to help improve or initiate public transportation related services	Local and State Government Transportation District Commissions Public Service Corporations Planning District Commissions Human Service Agencies Involved in Rural Public Transportation	State Funding: Up to 50% of eligible expenses Local Match: 50%
Public Transportation Intern Program	Supports increased awareness of public transportation as a career choice	Local and State Government Transportation District Commissions Public Service Corporations Planning District Commissions Human Service Agencies Involved in Rural Public Transportation	State Funding: Up to 80% of eligible expenses Local Match: 20%
TDM Operating Assistance	Supports operation of existing Transportation Demand Management/Commuter Assistance programs	Local and State Government Transportation District Commissions Public Service Corporations Planning District Commissions Transportation Management Associations	State Funding: Up to 80% of eligible expenses Local Match: 20%
Mobility Programs (formerly Transportation Management Project Assistance)	Supports vanpool programs, Employer Outreach/Services programs, Telework!VA, other TDM programs and projects beyond the basic commuter assistance program operations	Local and State Government Transportation District Commissions Public Service Corporations Planning District Commissions Transportation Management Associations	State Funding: Up to 80% of eligible expenses Local Match: 20%
Senior Transportation Program	Supports projects and programs that improve mobility for senior citizens	Local and State Government Transportation District Commissions Public Service Corporations Private Non-Profit Organizations	State Funding: Up to 80% of eligible expenses Local Match: 20%

Exhibit 2 DRPT Administered Federal Aid Grant Programs

Federal Aid Grant Program	Program Description	Eligible Recipients	Grant Funding & Matching Ratios
FTA Section 5303 – Metropolitan Planning	Supports transit planning expenses	Metropolitan Planning Organizations	Federal Funding: Up to 80% of eligible expenses State Funding: 10% Local Match: 10%
FTA Section 5307 – Small Urban Areas Program	Supports operating and capital costs of transit operators in small urban areas	Local and State Government Transportation District Commissions Public Service Corporations, Planning District Commissions in urban areas with populations between 50,000 and 200,000	Up to 50% of net operating expenses Up to 80% of eligible capital expenses
FTA Section 5310 – Enhanced Mobility of Seniors and Individuals with Disabilities	Supports capital (including vehicles and equipment) and operating costs of transportation services and transportation alternatives beyond those required by the Americans with Disabilities Act of 1990. (Includes activities previously eligible under the FTA 5317 New Freedom Program.).	Local and State Government (e.g. AAAs and CSBs), Private non-profit operators of transportation services for seniors and persons with disabilities.	Federal Funding: Up to 50% of net operating expenses Up to 80% of eligible capital expenses State Funding: 80% of non-federal portion for operating and capital
FTA Section 5311 – Rural Areas	Supports operating and capital costs of transit operators in non-urbanized areas	Local and State Government Transportation District Commissions Public Service Corporations Private Non-Profit Organizations Federally Recognized Indian Tribes	Federal Funding: Up to 50% of net operating expenses Up to 80% of eligible capital expenses State Funding: 80% of non-federal portion for capital

GRANT PROGRAM APPLICATION AND AWARD SCHEDULE

The application and award of DRPT's state and federal grant programs consists of the following phases: Application submission, DRPT's application review, DRPT's recommendations, draft SYIP recommendations, CTB approval of the SYIP, and execution of grant contract agreements.

The grant application and award schedule common to most state and federal grant programs administered by DRPT is summarized below. Note that deadlines referring to the first day of the month (e.g. December 1, February 1 and April 1) are to be interpreted as the **first business day of the month**.

Process	Schedule
Grant Application Assistance	September through January October through April for FTA 5303
CHSM Meetings	Fall
Grant Outreach Workshops	Fall and Spring
Grant Program Application Announcement	Late November
Submission of audited financial statements	December through March
Grant Application Period for all grant programs except the FTA 5303 program (MPO Assistance)	December 1 through February 1
Agencies update asset data in TransAM	August 1 and February 1
Agencies submit annual TDP/TSP update letters	January 15
Capital Budgeting Information Submitted by potential grant recipients	February 1
Review, Analysis and Evaluation of Grant Applications	February through early March
DRPT provides 5303 funding estimates	February 15
Development of Draft Six Year Improvement Program	Late February through April
Commonwealth Transportation Board (CTB) Authorization to Release Draft Six Year Improvement Program to the Public for Review and Comment	April - May
Draft Six Year Improvement Program Public Hearings	April - May
Applications for FTA Section 5303 are due	May 1
CTB Approval of Final Six Year Improvement Program	June
Development and Execution of Grant Agreements	Beginning July 1 for state programs and October 1 for federal programs

CHAPTER 1 - STATE AID GRANT PROGRAMS

Sections 1.1 through 1.8 present state aid grant programs in the following order:

- Operating Assistance
- Capital Assistance
- Demonstration Project Assistance
- Technical Assistance
- Public Transportation Intern Program
- Transportation Demand Management (TDM) Operating Assistance
- Mobility Programs (formerly Transportation Management Project Assistance)
- Senior Transportation Program

SECTION 1.1 OPERATING ASSISTANCE PROGRAM

The Operating Assistance Program section provides a general overview of the State Aid Operating Assistance grant program for transit service, identifies who can apply, describes what types of projects could qualify for funding, and specifies terms and requirements.

ELIGIBLE APPLICANTS

State operating assistance is awarded to existing providers of public transportation service in Virginia. Eligible grant recipients include public transportation services operated by:

- Local and State Governments
- Transportation District Commissions
- Public Service Corporations

PROGRAM DESCRIPTION

The Operating Assistance program provides funding for operating expenses for many types of transit services, including fixed route and commuter bus service, and light rail service. Operating Assistance supports transit operations, maintenance, repairs and administrative costs.

PROGRAM GOAL

The goal of the Operating Assistance program is to improve the quality and efficiency of public transportation services.

OPERATING ASSISTANCE FUNDING MODEL

State financial operating assistance is distributed among all eligible public transportation service providers utilizing performance-based funding metrics.

ELIGIBLE OPERATING EXPENSES

Prospective applicants are required to submit audited financial statements to support all operating expenses. The following eligible expenses may be submitted:

Public transportation general administrative expenses borne by the locality.

Eligible expenses include, but are not limited to:

- Accounting and payroll
- Advertising and promotion media
- Business related education and training for transit employees
- Business related travel expenses of transit employees
- Clerical
- Communication services – cost of communications including phones, fax, postage, etc.
- Contract management fees
- Facilities and equipment lease, rental and maintenance contracts (note: not eligible if funded through a capital grant)
- Data processing supplies
- Indirect costs – these costs can only be included if the indirect cost plans have been pre-approved by DRPT. If applicants do not have a pre-approved plan and wish to submit one to DRPT, it should be done as soon as possible. DRPT may not be able to pre-approve a plan that is submitted during the application period (December 1 – February 1). Indirect costs funded through a capital grant are not eligible.
- Insurance and bonding – cost of insurance, or payments to a self-insurance reserve, on property or against specific or general liabilities of the transit entity
- Office supplies, materials and equipment
- Other fixed charges – dues and subscriptions, taxes, licenses, etc.
- Printing and reproduction
- Professional services – retainer fees and expenses paid to professionals, not employees of the specific transit entity for their special expertise. Includes accounting, legal, architectural, engineering, management, and marketing services.
- Public Transportation Association dues (excluding any portion of the dues that are for state lobbying activities)
- Uniforms
- Utilities – heat, lights, power, water and sewer expenses

ELIGIBLE EXPENSES

GENERAL ADMINISTRATIVE EXPENSES

VEHICLE FUELS, LUBRICANTS, TIRES

MAINTENANCE PARTS AND SUPPLIES

Public transportation expenses borne by the locality for fuels, lubricants, tires, maintenance parts and supplies.

Eligible expenses include, but are not limited to:

- Preventative maintenance
- Cleaning supplies
- Maintenance parts, supplies, tools and equipment

- *Vehicle supplies and materials (tangible maintenance and operating resources for use and preservation of motor vehicles, not included in capital costs)
- *Motor fuels and materials
- *Oil
- *Tires and Tubes
- *Parts

* Note: Items eligible only if consumed. Items purchased for inventory are not eligible.

INELIGIBLE OPERATION EXPENSES

The following expenses are ineligible for consideration:

- Expenses not directly attributed to the operation of public transportation services.
- Expenses already funded through another state grant.
- Expenses related to state lobbying activities.
- Wages or expenses reimbursed through another program (Employer Outreach, Commuter Services, etc.)
- Capital Reserves
- Charter Service expenses

OPERATING REVENUES

In order to determine eligibility for funding, DRPT requires the provider to submit all operating revenues along with their application, which includes farebox revenue and Federal, State and Local revenues. Federal revenues are defined as financial assistance from any federal government program that supports the operation of public transportation. State revenues are financial assistance from any state government program other than DRPT's Operating Assistance program. Local revenues are defined as financial assistance that support the operation of the transit system that are not from state or federal funds. Local revenues include, but are not limited to:

- Tax levies — Specified amount from local levies that is dedicated to supporting public transit system operating costs.
- General funds — Transfers from the general fund of local governments to cover the Local Share portion of the transit system budget.
- Donations — Donations from individuals or organizations to help cover the costs of providing transit service but which are not related to specific passengers or trips.
- Advertising revenues from non-taxpayer entities
- Contract revenue from non-taxpayer entities.

PERFORMANCE BASED FUNDING ALLOCATION

The 2018 General Assembly passed House Bill 1539, which requires the Commonwealth Transportation Board (CTB) to allocate operating assistance solely on the basis of performance metrics beginning in FY2020. DRPT is currently developing this new process, in consultation with the [Transit Service Delivery Advisory Committee](#). **An update to this section of the Program Application Guidance will be provided by January 1.**

The performance metrics are currently defined as:

- **Net Cost per Passenger (50%):** Total operating costs less depreciation related to transit assets and any operating income derived from a source other than taxpayers divided by ridership. (An example of a non-operating income item would be interest income.)
- **Customers per Revenue Hour (25%):** Ridership divided by revenue hours.
- **Customers per Revenue Mile (25%):** Ridership divided by revenue miles.
- **Transit System Sizing:** Systems will be sized equally based on ridership and operating costs and relative to all transit operators eligible for state assistance. Based on the most recent annual ridership and most recent audited operating cost available net of depreciation, projects funded in other DRPT programs, and non-transit related expenses.

Further details on Transit Service Delivery Advisory Committee (TSDAC) can be found on DRPT's [webpage](#).

APPLICATION EVALUATION PROCESS

Applicants need to ensure that expenses and revenues (as described above) are properly reported on their application. DRPT evaluates Operating Assistance applications by validating the expenses and revenue sources submitted on the application, determining the eligibility of listed expenses based upon the criteria noted above, requesting additional data or clarification from applicants if necessary. The finance staff at DRPT is responsible for validation and will begin the process in the fall prior to the application opening date. The validation process will include reviewing data submitted by the applicant for the previous year and verifying against the applicant's audited financial statements.

AUDITED FINANCIALS

AUDITED FINANCIAL STATEMENTS
MUST BE SUBMITTED BY ALL ELIGIBLE
RECIPIENTS TO DRPT EACH YEAR AND
ARE REQUIRED FOR VERIFICATION OF
OPERATING EXPENSES AND REVENUES.

The transit staff at DRPT is responsible for reviewing budget and expenditure data, as well as, validation of performance data submitted as part of the application. The validation process will include reviewing data submitted by the applicant for the previous year and verifying against the applicant's records, as appropriate.

Upon completion of the evaluation process, DRPT includes the recommended applications and allocation in the Draft Six Year Improvement Program (SYIP). The CTB approves the release of the draft program to the public for comment and following receipt of public comments, the CTB approves the final SYIP. You can view the SYIP [here](#).

APPLICATION REQUIREMENTS

Applications for all State Aid Grant Programs are submitted online using DRPT's Online Grant Administration website ([OLGA](https://olga.drpt.virginia.gov)) at: <https://olga.drpt.virginia.gov>.

Required data include:

- Previous year's audited operating expenses and revenues.
- A detailed crosswalk of the audited operating expenses.
- Operating expense budget for upcoming fiscal year.

- Total amount of state aid from all other programs anticipated for the upcoming fiscal year. Anticipated state aid for the upcoming fiscal year DOES NOT include the amount of operating assistance anticipated from the Operating Assistance program.
- Total amount of local funds anticipated for the upcoming fiscal year. Local funds used as match should **not** be reported in the Operating Application.
- Total amount of federal aid from the FTA Section 5307 program anticipated for the upcoming fiscal year that will be used to support expenses in the proposed operating budget.
- Calculated total amount of federal aid from the FTA Section 5311 – Rural Areas application submitted during the upcoming fiscal year that will be used to support expenses in the proposed operating budget
- Total amount of federal aid from the Congestion Mitigation and Air Quality Improvement (CMAQ) program anticipated for the upcoming fiscal year that will be used to support your proposed operating budget
- Total amount and source(s) of state and federal aid from any other programs anticipated for the upcoming fiscal year that will be used to support expenses in your proposed operating budget. These sources will be recorded on the application as deductions.

NEW STARTS – NEW SYSTEMS, NEW MODES AND NEW SERVICE

Operating Assistance is available for new systems, new modes of public transportation being added by existing systems and new service on current modes of public transportation provided by existing systems. New service on current modes must increase existing transit service revenue miles/hours by **at least 5 percent** to be eligible for additional operating assistance funding.

Any proposal to develop a new transit system, new mode or new service must begin with proper planning. Local entities must develop a plan prior to requesting any Operating Assistance for new transit service (this does not include expanding existing routes). Planning funds may be applied for through DRPT's Technical Assistance Program. DRPT encourages local entities to involve DRPT in any transit system planning efforts. DRPT also has resources available to help manage transit system planning studies on behalf of local entities.

Transit feasibility studies are acceptable planning documents for new transit systems. Existing systems must have a completed and adopted Transit Development Plan in order to request Operating Assistance for new service. DRPT's Transit Development Plan requirements are available in [OLGA](#). Transit Development Plans must be submitted with an existing system's Operating Assistance application.

DRPT staff will evaluate all requests based upon how they address the following areas:

- Planning for success
- Examining all of the options
- Framing the purpose and need
- Land use considerations
- Service area and transit network design
- Availability of non-state resources to support on-going operations

SECTION 1.2 CAPITAL ASSISTANCE

This section provides a general overview of the Capital Assistance grant program for transit, identifies who can apply, describes what types of projects could qualify for funding, and specifies terms and requirements.

ELIGIBLE APPLICANTS

Eligible grant recipients include public transportation capital improvements sponsored by:

- Local and State Government
- Transportation District Commissions
- Public Service Corporations
- Federally Recognized Indian Tribes

Funds from the State Aid Capital Assistance Program may be awarded to existing and prospective new providers of public transportation service in Virginia.

PROGRAM DESCRIPTION

The Capital Assistance grant program supports public transportation capital projects necessary to maintain, improve or expand public transportation services. Capital funding supports long-term transit assets such as, vehicles, facilities, machinery, and heavy equipment.

PROGRAM GOALS

The goals of the Capital Assistance program are to maintain a state of good repair for public transportation capital assets and to improve or expand public transportation services in a fiscally responsible way that improves transit service for Virginians.

ELIGIBLE PROJECTS

Eligible capital expenses include, but are not limited to, items such as the purchase or lease of new vehicles and equipment, the rehabilitation of vehicles and equipment, the improvement or construction of transit maintenance and operations facilities, the purchase and installation of bus stop signs and shelters, the cost of debt service for major capital projects, real estate/right-of-way acquisition and safety and security equipment.

Most projects eligible for capital assistance under [FTA guidelines](#) will be eligible for state aid capital assistance. There are several FTA grants available to support capital projects, and all the grant programs are explained at the FTA website [here](#).

This program specifically excludes operating expenditures such as depreciation costs and preventive maintenance expenses.

PRIORITIZATION PROCESS

The 2018 General Assembly passed House Bill 1539, which required the Commonwealth Transportation Board to develop a prioritization based allocation process for transit capital assistance. DRPT, in consultation with the Transit Service Delivery Advisory Committee,

developed this process which the CTB approved on October 30, 2018. For additional information on the TSDAC process, please see DRPT's [webpage](#).

Transit Capital Projects will be classified into three categories:

- **State of Good Repair (SGR):** capital projects or programs to replace or rehabilitate an existing asset.
- **Minor Enhancement (MIN):** projects or programs to add capacity, new technology or a customer meeting the following criteria:
 - Project cost is up to \$2 million; or
 - For expansion vehicles, a minor enhancement entails a fleet increase of no more than 5 vehicles or less than 5% of the fleet size, whichever is greater. (Note: Increases in paratransit fleets to meet increasing service demands will be evaluated in the same manner as Minor Enhancements.)
- **Major Expansion (MAJ):** capital projects to programs to add, expand or improve service with a cost exceeding \$2 million or for expansion vehicles, an increase of greater than 5 vehicles or 5% of fleet size, whichever is greater.

The Transit Capital program will be structured to provide a minimum of 80% of the annual allocation to State of Good Repair and Minor Enhancement projects with a maximum of 20% available for Major Expansion projects. This structure reflects program trends and availability of other funding sources to support major expansion projects.

Table 1: Sample Project Types for SGR, Minor Enhancement, and Major Expansion

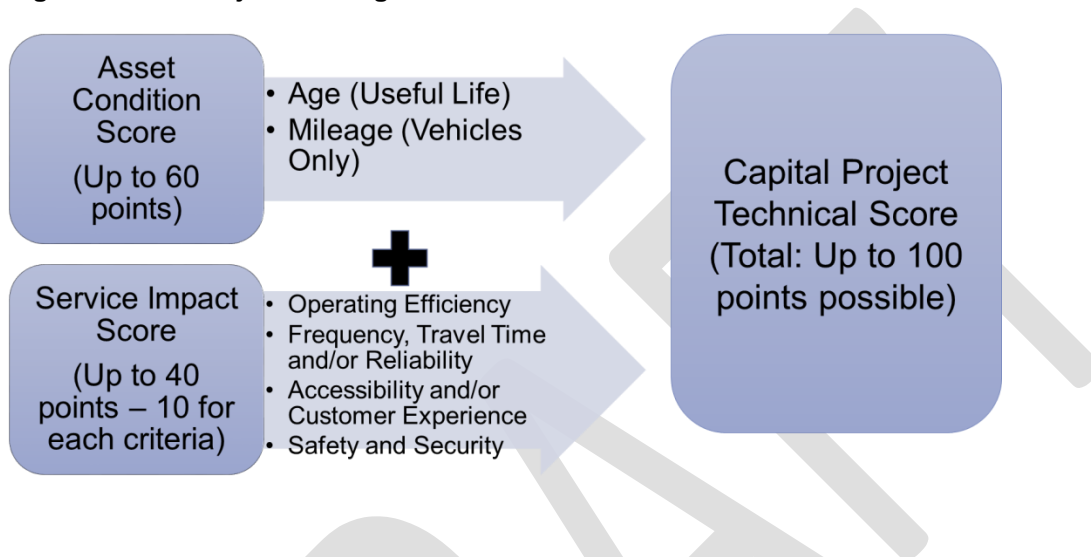
State of Good Repair (SGR)	Minor Enhancement	Major Expansion
<ul style="list-style-type: none"> • Vehicle Replacement <ul style="list-style-type: none"> – Replacement buses – Replacement Vans • Administrative/Maintenance Facilities <ul style="list-style-type: none"> – Rehabilitation/Renovation of bus maintenance facility • Customer Facilities <ul style="list-style-type: none"> – Bus shelters – Bus stop accessibility – Bus Route signage • Maintenance equipment and parts <ul style="list-style-type: none"> – Spare parts – Hybrid bus batteries – Shop equipment • Technology/systems/communications <ul style="list-style-type: none"> – Fare payment systems and hardware – Safety/surveillance/security equipment and systems – Software and hardware to support AVL, payroll and administration, planning and scheduling, real-time passenger information and reporting • Other <ul style="list-style-type: none"> – Debt service – Capital cost of contracting 	<ul style="list-style-type: none"> • Vehicles – minor fleet expansion • New bus shelters • Route signage (bus stop sign) • Purchase digital bus stop signage • New fare collection equipment • New software, hardware, systems • Minor real estate acquisition • Capital project development (engineering and design, construction management) 	<ul style="list-style-type: none"> • Fixed-guideway (BRT/LRT) Corridor • Major Fleet Expansion • Station Improvement • Station Entrances • Park & Ride facilities • Transit/Transfer Center • Construction of an Operational Facility (i.e. Admin/Maintenance facilities, bus parking, etc.).

SCORING METHODOLOGY FOR STATE OF GOOD REPAIR (SGR), MINOR ENHANCEMENT (MIN) PROJECTS, AND MAJOR ENHANCEMENTS

State of Good Repair (SGR) and Minor Enhancements (MIN)

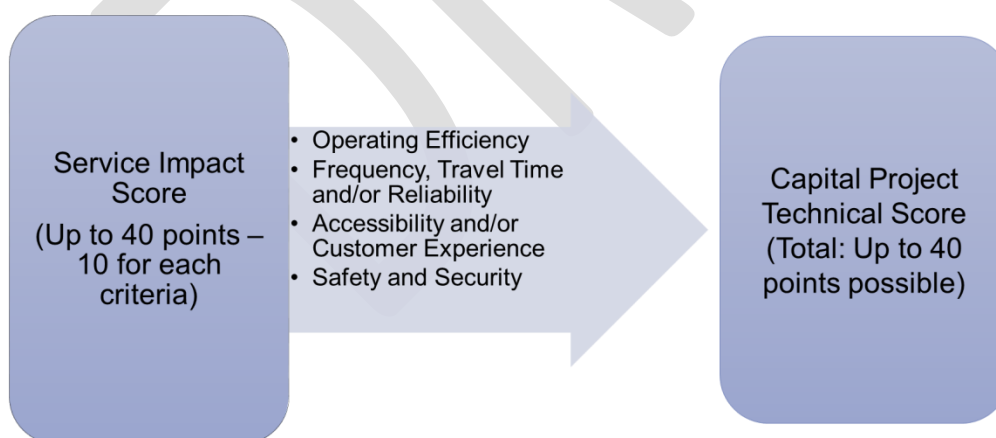
SGR projects (Figure 1) will be evaluated considering asset condition (60 points) and service impact (40 points). The combined score from the two criteria adds up to 100 points. Asset condition and service impact scores are described in further detail in the following section.

Figure 1. SGR Project Scoring



Minor enhancement projects (Figure 2) will be prioritized solely on service impact considerations, with projects receiving up to 40 points. Service impact scores are described in further detail in the following section.

Figure 2. Minor Enhancement Project Scoring



Asset Condition Score

The first step in the prioritization process for SGR projects is to determine whether the project is eligible for funding. Using asset age data, projects are screened based on age and asset useful

life. After this initial screening, projects are then scored between 0 and 60, based on the asset age and mileage. Assets that are older or have higher mileage will receive higher scores.

The asset condition score will be calculated based on the asset's age and mileage (in TransAM) on February 1. For vehicles, asset condition rating score is the average of the age and mileage-based scoring systems (50% mileage score and 50% age score). For non-vehicle assets, only the age score is used. Asset age and mileage are compared against the Expected Service Life (ESL), which is the FTA standard for minimum service life of that type of asset (FTA Circular 5010.IE). Note that each individual vehicle that is being replaced receives a score, while non-vehicle assets such as facilities are expected to be rated as one project.

Table 2 below shows the resulting points based on the age and mileage (for vehicles). The scoring system is set so that assets well past ESL have higher scores than those which have just reached their useful life. This approach of rating the oldest assets highest may need to be revisited once the state backlog of SGR needs is addressed and it is possible to reward requests for assets to be replaced on their expected lifecycle.

Table 2. Age and Mileage Scoring

Age of Asset Relative to Service Life	Points	Mileage of Vehicle Relative to Service Life	Points
< 95% of ESL Age	0	< 95% of ESL Mileage	0
+/- 5% ESL Age	30	+/- 5% ESL Mileage	30
5-10% > ESL Age	35	5-10% > ESL Mileage	35
10-20% > ESL Age	40	10-20% > ESL Mileage	40
20-30% > ESL Age	45	20-30% > ESL Mileage	45
30-40% > ESL Age	50	30-40% > ESL Mileage	50
40-50% > ESL Age	55	40-50% > ESL Mileage	55
>50% ESL Age	60	>50% ESL Mileage	60

Service Impact Score

Service impact considers the asset impact on service (direct or indirect), and to what extent an asset affects the rider experience. Measuring service impact in this way is a qualitative exercise, assigning points based on the determined level of impact to service quality by project subtype. There are four sub-criteria under service impact, which can each receive up to 10 points (40 points total):

- *Service Frequency, Travel Time and Reliability*
- *Operating Efficiency*
- *Service Accessibility and/or Customer Experience*
- *Safety and Security*

The definitions of each of the criteria are shown in Table 3.

Table 3. Service Impact Criteria

Criteria	Definition
Operating Efficiency	Provides for significantly more cost-effective provision of service
Frequency, Travel Time and/or Reliability	Speeds up transit routes or allows for increased frequency. Significant impact on reliability either through preventing breakdowns or removing vehicles from mixed traffic
Accessibility and/or Customer Experience	Significant improvement in a customer's ability to access the system or a significant improvement in the ease of use of the system.
Safety and Security	Provides a significant improvement in safety or security

Table 4 provides the default rating by criteria for each project type (using project types defined in TransAM). Default ratings were initially set based on alignment of the asset type with achievement of each of the service impact criteria.

Points are assigned initially based on the default rating for each criterion:

- High = 9
- Medium = 6
- Low = 3
- No Impact = 0.

Projects automatically receive the default rating for the criteria based on the default values for each impact level. For example, a project ranked as high impact for the operating efficiency criterion would automatically receive 9 points for the criterion.

In order to differentiate and quantify based on specific characteristics of a project, the following additional considerations (Table 5) will be utilized to adjust the default score. Points for each of the criteria are not to exceed 10 points. After adding any additional points earned for that project, points for all four criteria are summed to determine the Service Impact Score for that project, with a maximum of 40 points available.

Table 4. Default Service Impact Ratings by Project Type

Primary Project Types	Secondary Project Types	Operating Efficiency	Frequency, Travel Time and/or Reliability	Accessibility and/or Customer Experience	Safety and Security
Admin/Maintenance Facilities	All	Medium Impact	Medium Impact	Low Impact	Medium Impact
Customer Facilities	Bus Stop/ Shelter Improvements	Low Impact	No Impact	High Impact	Medium Impact
Customer Facilities	Transit Centers/Stations	Medium Impact	Medium Impact	High Impact	Medium Impact
Maintenance Equipment & Parts	All	Medium Impact	Medium Impact	Medium Impact	High Impact
System Infrastructure	All	High Impact	Medium Impact	Medium Impact	Medium Impact
Technology/Equipment	Administrative	Low Impact	Low Impact	Low Impact	Low Impact
Technology/Equipment	Operations Support	Medium Impact	Medium Impact	Medium Impact	Medium Impact
Technology/Equipment	Onboard Systems—ITS/Communications	Medium Impact	Medium Impact	High Impact	Medium Impact
Technology/Equipment	Onboard Systems—Safety	No Impact	No Impact	Medium Impact	High Impact
Vehicles	Revenue Vehicles	High Impact	High Impact	High Impact	High Impact
Vehicles	Support Vehicles	Medium Impact	Medium Impact	Low Impact	Low Impact
Vehicles	Overhaul/Engine Replacement	High Impact	High Impact	Medium Impact	High Impact

Additional considerations for scoring service impact include:

Table 5: Service Impact –Additional Scoring Considerations

Criteria	Additional Considerations Added to Default Score (Not to Exceed 10 points for Any Criterion)
Operating Efficiency	<ul style="list-style-type: none"> • Add 1 point for LEED-certified buildings or facilities (reduced facility operating costs). • Add 1 point for Electric or Hybrid Technology vehicles • Add 1 point for expansion buses if the agency spare ratio is below 15%
Service Frequency, Travel Time and Reliability ¹	<ul style="list-style-type: none"> • Add 1 point if the agency fixed-route on-time performance (OTP) is greater than 80% • Add 1 point if the agency Vehicle Mean Distance between Failures > 10,000 miles
Service Accessibility and Customer Experience	<ul style="list-style-type: none"> • Add 1 point for investments that add new stops or expand service coverage • Add 1 point for software/hardware to provide real-time arrival information
Safety and Security	<ul style="list-style-type: none"> • Add 1 point for onboard technology to enhance passenger safety • Add 1 point for improved lighting or other crime prevention features • Add 1 point for pedestrian safety improvements

Major expansion projects

Major Expansion projects will be evaluated based upon the following factor areas identified in 33.2-214.4 of the *Code of Virginia*: congestion mitigation, economic development, accessibility, safety, environmental quality, and land use. The factors specified in 33.2-214.4 of the *Code of Virginia* will be measured and weighted according to the following metrics:

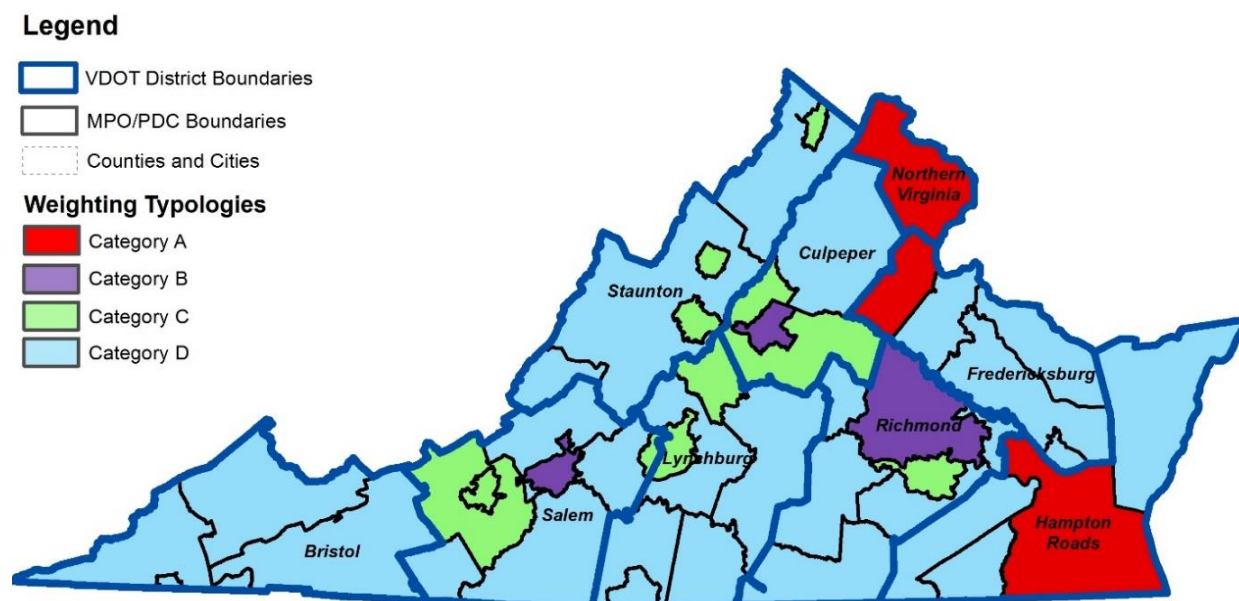
Table 6: Service Impact –Additional Scoring Considerations

Criteria	Objective
Congestion Mitigation	Reduce delay, improve transportation system reliability, and encourage transit use
Economic Development	Support existing economies and enhance opportunity for economic development
Accessibility	Enhance worker and overall household access to jobs and other opportunities, and provide multiple and connected modal choices
Safety	Address multimodal safety concerns and improve transit safety and security
Environmental Quality	Reduce emissions and energy consumption by providing modal choices, and minimize natural resources impacts
Land Use	Improve consistency of the connection between local comprehensive plans and land use policies with transit investments

The prioritization criteria within each of the six factor areas will be weighted differently by four area type categories (Table 7). The typology categories and weighting frameworks within existing MPO and PDC boundaries (Figure 3 and Table 8) were selected by the MPOs and PDCs and adopted by the Commonwealth Transportation Board as part of the SMART SCALE process. An MPO or PDC, in consultation with Transportation District Commissions (where applicable) may request that the Board approve a different typology for the purpose of Transit Capital prioritization, by resolution of their policy board.

Table 7: Factor Weights by Category

Factor	Congestion Mitigation	Economic Development	Accessibility	Safety	Environmental Quality	Land Use
Category A	45%	5%	15%	5%	10%	20%
Category B	15%	20%	25%	20%	10%	10%
Category C	15%	25%	25%	25%	10%	
Category D	10%	35%	15%	30%	10%	

Figure 3: PDC—MPO Factor Weighting Typology Map**Table 8: PDC-MPO Factor Weighting Typology**

Name	Typology
Accomack-Northampton PDC	Category D
Bristol MPO	Category D
Central Shenandoah PDC*	Category D
Central Virginia MPO	Category C
Charlottesville-Albemarle MPO	Category B
Commonwealth RC	Category D
Crater PDC*	Category D
Cumberland Plateau PDC	Category D
Danville MPO	Category D
Fredericksburg Area MPO (FAMPO)	Category A
George Washington RC ¹	Category D
Hampton Roads PDC ^a	Category D
Hampton Roads TPO (HRTPO) ^{a,b}	Category A
Harrisonburg-Rockingham MPO	Category C
Kingsport MPO	Category D
Lenowisco PDC	Category D
Middle Peninsula PDC ^b	Category D
Mount Rogers PDC ¹	Category D

Name	Typology
New River Valley MPO	Category C
New River Valley PDC ¹	Category C
Northern Neck PDC	Category D
Northern Shenandoah Valley RC ¹	Category D
Northern Virginia Transportation Authority (NVTa)/ Transportation Planning Board (TPB) ^c	Category A
Rappahannock-Rapidan RC ^c	Category D
Region 2000 LGC ¹	Category D
Richmond Regional PDC ¹	Category D
Richmond Regional TPO (RRTPO)	Category B
Roanoke Valley TPO (RVTPO)	Category B
Roanoke Valley-Alleghany PDC ¹	Category D
Southside PDC	Category D
Staunton-Augusta-Waynesboro MPO	Category C
Thomas Jefferson PDC ¹	Category C
Tri-Cities MPO	Category C
West Piedmont PDC ¹	Category D
WinFred MPO	Category C

¹ PDC defined as the remainder of the region outside the MPO boundary. In many cases, these regions include partial counties. If a project is within the MPO boundary in a partial county, the project shall use the weighting associated with the MPO with the following exceptions:

- ^a The portion of Southampton County and the City of Franklin within the Hampton Roads TPO boundary shall use the weighting associated with the Hampton Roads PDC.
- ^b Gloucester County portion of HRTPO included within Middle Peninsula PDC typology.
- ^c Fauquier County portion of TPB included within Rappahannock-Rapidan RC typology.

For projects that cross multiple typology boundaries, the project shall use the weighting associated with the typology for which the majority of the project is located.

Candidate Major Expansion projects will be scored based on the factors and weights identified above, the cost of the project, and based on the information included in the project application. The final score for Major Expansion projects will be determined by calculating the anticipated benefits relative to the amount of funding requested pursuant to 33.2-1526.1 of the *Code of Virginia*.

FUNDING PARAMETERS

To ensure equitable funding with limited resources, DRPT will fund as follows:

Trolley Packages: If a locality chooses to procure trolleys, DRPT will participate in the funding of the vehicle up to the market price of a standard clean diesel vehicle. This is assuming that DRPT approves the application for a vehicle purchase. Additional costs must be borne by the locality.

LEED Silver: DRPT will not fund infrastructure above the LEED Silver certification. If DRPT approves the facility and the recipient wishes to seek above the LEED certification, DRPT will only participate in the items that will achieve LEED Silver. Additional costs must be borne by the locality.

A project that has been selected for transit capital funding (state of good repair, minor enhancement, or major expansion) must be rescored and the funding decision reevaluated if there are significant changes to either the scope or cost of the project.

ALTERNATIVE FUEL VEHICLES

This section will be updated before final guidance is published on December 1.

Generally, DRPT will participate in the funding of an approved request for rolling stock up to the market price of a standard clean diesel vehicle. Additional costs must be borne by the locality. However, DRPT will consider requests for alternative fuel vehicles, based on several factors: local or federal funding being leveraged; inclusion of alternative fuel vehicles in the Transportation Development Plan (TDP) or other plans; local funding for infrastructure alterations; or the clear intention of migrating a significant portion of the fleet to alternative fuels.

APPLICATION EVALUATION PROCESS

Applications for Capital Assistance will also be evaluated by DRPT using the following criteria:

- Project Justification – explanation of the need/problem that the project will address for all capital replacement requests must include the age of the capital equipment to be replaced
- Planning – documentation that sufficient planning has been conducted to execute the project
- Project Scope – approach to addressing the need/problem
- Project Readiness – ability to initiate and advance the project within the fiscal year the funds are applied for. Detailed milestones dates must be included in the request and the useful life of the capital that is being requested. For FTA minimum useful life standards, see the circular [here](#)
- Technical Capacity – identification of project management team and ability to execute the project

- Project Budget – ability to execute the project scope within the project budget. Provide documentation on the cost of the capital (draft quote from a vendor copy of a state contract)
- Project Schedule - ability to execute the project scope within the project schedule
- Monitoring and Evaluation Plan - applicant's approach to measuring performance and evaluating the results of the requested capital project(s)

Capital Infrastructure Projects – DRPT provides funding for capital infrastructure projects including, new/renovation of facilities, fixed guideway, etc. Many of these projects receive funding from various sources in order for a project to progress to completion.

For new large capital infrastructure projects, funding may be requested for preliminary design/feasibility (up to 30% plans) to determine project feasibility and develop engineering level cost estimates. Once a project has progressed to 30% plans, the applicant must provide a comprehensive financial plan for the project. The financial plan will include the total estimated cost of the project, the total amount of state capital funds needed (by fiscal year), and other planned/committed sources of funding. **It is DRPT's intent to put capital infrastructure projects under multi-year agreements at the time that the project is approved for funding.** This approach is intended to provide a level of certainty for both the applicant and DRPT about the financial viability and commitment associated with the project.

IMPORTANT DATA TO INCLUDE IN APPLICATION

Project Description

Enter a brief, but detailed summary of the capital item and what it will be used for. At a minimum, the following should be provided:

- Project Scope and Deliverables.
 - Scope: The specific work that needs to be accomplished to deliver a product, service, or result with the specified features and functions.
 - Project deliverables: The deliverables are a set of specified outputs and should correspond to Project Milestones.
 - *Example:* Deliverable 1 - RFP, Deliverable 2 - Contract award, etc.
- Detailed description of the Capital Item that is the end result of the project (for example, buses or a maintenance facility as an end result of bus procurement or facility construction above).
 - *Example:* Five 40' low-floor, AVL/GPS equipped, diesel transit buses with factory installed electronic fareboxes compatible with currently employed technology (Specs should be attached -see "Attachments" section below). Application should include all appropriate appurtenances to the vehicle; e.g., fareboxes, security cameras, tablets, etc.
 - *Example:* A 20,000 sq. ft. Transit Maintenance Facility with three offices, four transit bays, tire storage, and a secure parts storeroom.

Depending on the phase of the project, engineering and design documents may need to be attached.

Project Justification

At a minimum, the following should be included in the application:

- The need or problem the project will address.
- Describe how the completion of the project mitigates the need or problem.
- Describe the planning that has been carried out that demonstrates project feasibility and readiness.
- Replacement vehicle line items should include the VIN of the vehicle being replaced, as well as its purchase date, mileage and condition.
- Expansion vehicle line items should refer to the TDP and/or feasibility studies that document the need and planning studies for expansion.
- Computer equipment, software, monitors and other IT items should also be identified as to age and condition of existing equipment.
- Useful life of capital items, using FTA and industry standard guidelines
- An expected cash-flow for major capital item purchases, especially if the projects will be multi-year capital items.

Technical Capacity

Enter the name, position title, phone number, email address, and describe the qualifications of the person responsible for the completion of this project, who can serve as DRPT's point of contact as technical questions arise.

Existing Fund Sources

Enter the grant number, UPC, amount, source, and description of any current funds already obligated to this project. This information will allow DRPT to correctly identify the funding gap the applicant is facing. Do not include Federal Funding (identified in 'Federal Funds' line below) that you are applying for a State match as part of this application.

Example: Total cost of this project is \$1,000,000. Service provider has received CMAQ funds of \$200,000 for this project. You are now requesting \$800,000 from DRPT.

Federal Funds

If you are anticipating funding this project with FTA federal funds, using the drop down menu, select the Federal source of funds you are expecting to apply to this project. For approved applications, state match to the federal funds will also be provided, depending on the federal funding program and state regulations. Also enter the fiscal year of the federal funds you are expecting to use. If the item is not eligible for federal funds, indicate this by checking the appropriate box; otherwise, federal funds may be applied.

Note: For information on particular Federal funding programs, their requirements and eligibility please refer to Program Application Guidance that can be found under Grant Applications menu.

Project Schedule

Note: This section will not appear if 5310 box was checked.

Using the calendar icon, enter the proposed Start Date of the project or manually enter the start date in the field in the format *MM/DD/YYYY*.

Using the calendar icon, enter the proposed End Date of the project or manually enter the end date in the field in the format *MM/DD/YYYY*.

Note: The Start Date is the first Milestone of the project for which you will be held accountable. The Start Date should be within the Fiscal Year for which funds will be allocated, but is not the same as the beginning of the fiscal year

Milestones/Events

Note: This section will not appear if 5310 box was checked.

Project Milestones are scheduled events used to monitor and evaluate the progress of the project. At least one Milestone must be entered. You are encouraged to enter multiple Milestones to correspond to project deliverables. The milestones will be accessible and updatable once the project is executed and open to charges. Recipients can review and update milestones using the Project Oversight report on OLGA. Milestones will be reviewed and edited with the Program Manager through the life of the grant.

The estimated dates of milestones must fall between the project's beginning and end dates.

To enter the first milestone, using the drop down menu select a project milestone or manually enter the milestone date in the field in the format *MM/DD/YYYY*. If "other" is selected, a description **MUST** be entered into the text field provided.

In order to be able to enter additional milestones, you must click the "Save" button on the bottom of the page. The system will take you to the capital assistance application screen, showing the line item that has just been saved. Then click the notepad icon under "Modify", you will be taken to the line item detail screen again. At this point you can enter additional milestones on the bottom of the page, clicking "Save" after entering each one of them.

Example: For a bus purchase: milestone #1 – issue PO from state contract; #2 – receive first vehicle; #3 – receive last vehicle; #4 install security equipment; #5 complete acceptance testing; #6 last billing.

SECTION 1.3 DEMONSTRATION PROJECT ASSISTANCE

This section provides a general overview of the Demonstration Project Assistance grant program, identifies who can apply, describes what types of projects could qualify for funding, and specifies terms and requirements. Funding for this program comes from the Special Projects program, which includes funding for DRPT's Technical Assistance, TDM Operating Assistance, Mobility Programs, and Intern grant programs.

ELIGIBLE APPLICANTS

Eligible Demonstration Project Assistance grant applicants include:

- Local governments
- Planning District Commissions
- Metropolitan or transportation planning organizations
- Transit agencies that receive state operating assistance from the Mass Transit Trust Fund, as established in § 58.1-638(A)(4)(b)(2) of the Code of Virginia

Private corporations and Transportation Management Associations (TMA's) may participate in projects through contractual arrangements with eligible recipients. Funds may be passed through to the regional and community level in the form of grants or used by DRPT directly.

PROGRAM DESCRIPTION

The Demonstration Project Assistance program is a competitive grant program with the goal of supporting local efforts to improve transit reliability, improving access and connections to activity centers, and improving transit mobility options.

The program is flexible and broad enough to financially support a variety of projects that achieve the stated program goals. Demonstration projects also serve as examples and opportunities for learning and replication for other transportation agencies throughout the Commonwealth.

PROGRAM GOALS

The underlying goal of the program is to incentivize calculated risk taking by focusing on innovative and non-traditional transportation solutions that can directly or indirectly improve public transportation in the Commonwealth. This program is designed to fill funding gaps for projects and activities that may not necessarily be directly suited for other State and Federal formula-based capital and operating grant programs.

The program seeks to fund innovative and non-traditional projects and activities to:

- Improve the efficiency of public transportation providers in all functional areas.
- Offer creative approaches to identify and penetrate travel markets for public transportation systems.

- Increase private sector involvement in all areas of public transportation.
- Raise the utilization and productivity of existing public transportation services.
- Improve public transportation services for people with disabilities.

ELIGIBLE PROJECTS

Eligible projects include research, development, demonstration and deployment of innovative and non-traditional projects, and evaluation of new technology. As the name suggests, the purpose of the program is to allow demonstration of activities so build support for long-term solutions. For traditional transit services seeking operating assistance, eligible projects will only include new non-traditional service types and services in jurisdictions with no established transit systems. Such projects include those that:

- Establish proof of concept through the testing of new technology
- Test of a new type of service
- Test new transportation options in areas with no transit service

ELIGIBLE EXPENSES

Revenues generated by any approved Demonstration Project will be offset against expenses to derive the net project cost. Only the net project cost is eligible for reimbursement by grant funds. The following non-exhaustive list illustrates types of eligible expenses.

- Administrative costs (research, before-and-after analysis, personnel, office supplies, travel, advertising, etc.)
- Operating costs (wages, supplies, maintenance, purchased services, etc.)
- Capital costs (facilities and equipment).

Capital rolling stock costs are only funded in extraordinary circumstances. Leasing of rolling stock is recommended for Demonstration Projects. The total project costs net of any federal aid received are eligible for reimbursement by grant funds.

DURATION OF PROJECTS

Approved projects may begin on the first day of the fiscal year (July 1). Demonstration projects should be designed to conclude approximately within one year of the initiation of service. Under justifiable circumstances, funding for demonstration projects can be provided for up to three years.

GRANT MATCH REQUIREMENTS

The Demonstration Project Assistance Program provides state funding up to eighty percent (80%) of eligible expenses. The grant applicant must provide a twenty percent (20%) match from non-state or federal funds.

APPLICATION EVALUATION CRITERIA & PROCESS

Grant applications will be reviewed against the goals of the program, based on level of planning and project readiness, local and regional support, financial commitment, and project's applicability for other similar entities. Traditional transit services that can be funded with traditional formula based state and federal programs are not considered suitable for this program.

Upon completion of the evaluation process, DRPT includes the recommended applications and allocation in the Draft Six-Year Improvement Program (SYIP). The Commonwealth Transportation Board (CTB) approves the release of the draft SYIP to the public for comment in April and following receipt of public comments, the CTB approves the final SYIP in June.

To view the SYIP, please visit the SYIP page on DRPT's website.

APPLICANT/RECIPIENT RESPONSIBILITIES

The approved applicant is responsible for the following:

- Conduct sufficient level of planning to identify project need, project purpose, and establish performance measures and thresholds.
- Develop goals, objectives, and criteria for to define success and failure.
- Demonstrate intent and financial commitment to continue the project beyond the demonstration phase if it is found to be successful
- Provide continuous administrative direction.
- Provide directly, or by contract, adequate technical inspection and supervision of qualified personnel of all work in progress.
- Assure conformance to plans, specifications, contract requirements, applicable codes, ordinances, and safety standards.
- Meet requirements outline in the project contract and master agreement, if applicable.
- Close out projects on a timely basis.
- If required, conduct before-and-after analysis for wider dissemination.

APPLICATION REQUIREMENTS

Applications for all State Aid Grant Programs are submitted online using DRPT's Online Grant Administration website ([OLGA](#))

Project description: Please include a brief, but informative summary of the project. All projects must be in the local transit's Transit Development Plan (TDP) or Transportation Demand Management (TDM) agency's TDM plan.

Project description must include:

- Reasonable and verifiable project scope that reflects activities needed to meet the identified need
- Project schedule
- Estimated project cost and funding request

- Expected product or service, or result with the specified features and functions

Project justification: Most applicants will need a planning effort to develop project justification and prepare plan for project implementation. Please use the planning work and ensure that, at a minimum, the following is included in the application:

- Clear and demonstrable unmet need that will be met by the project
- Description of how the completion of the project mitigates the need or problem

Technical capacity: Enter the name, position title, phone number, email address, and describe the qualifications of the person responsible for the completion of this project, who can serve as DRPT's point of contact as technical questions arise.

Financial capacity: Applicant must demonstrate intent and financial commitment to continue the project beyond the demonstration phase if it is found to be successful.

Performance measures and thresholds: Applicant must clearly establish criteria for success and failure. Applicant must outline performance measures, associated performance thresholds, and collect the required data to evaluate results of the project or activities.

Local and regional support: Applicant must demonstrate local and regional support and/or financial commitment of the project or activities will directly or indirectly have positive or negative impacts on other entities or jurisdictions.

SECTION 1.4 TECHNICAL ASSISTANCE

This section provides a general overview of the Technical Assistance grant program, identifies who can apply, describes what types of projects could qualify for funding, and specifies terms and requirements. Funding for this program comes from the Special Projects program, which includes funding for DRPT's Demonstration, TDM Operating Assistance, Mobility Programs, and Intern grant programs.

ELIGIBLE APPLICANTS

Eligible Technical Assistance grant applicants are:

- Local and State Government
- Transportation District Commissions
- Public Service Corporations
- Planning District Commissions and Regional Planning Commissions
- Human Service Agencies Involved in Rural Public Transportation
- Transportation Management Associations

PROGRAM DESCRIPTION

The Technical Assistance grant program supports studies, plans, research, data collection, and evaluation projects to help improve, justify and evaluate public transportation or TDM/commuter assistance services. This program can be used to conduct a wide range of planning and technical analysis that is needed as input into a decision making or evaluation process.

PROGRAM GOAL

The goal of the Technical Assistance program is to help improve public transportation and TDM/commuter assistance services. This grant program supports projects that obtain data and analysis that are used to improve the quality, performance and efficiency of public transportation and TDM/commuter assistance services.

ELIGIBLE PROJECTS

Eligible expenses include the cost of preparing technical studies including the following:

- Bike Share program feasibility and implementation studies
- Capital and/or Operating Financial Plans
- Commuter Assistance/TDM Program Operations Analysis
- Comprehensive Operations Analysis
- Cost Allocation Plans
- Equipment Purchases as appropriate
- First mile/Last mile Feasibility Studies (including bike share)
- Industry Peer Reviews
- Integrated Mobility efforts (Mobility as a Service, Mobility on Demand, etc)
- ITS/APTS Feasibility Studies

- Management and Performance Evaluations
- Marketing and Promotional Plans
- Procurement Assistance
- Project Development
- Technology Research and Plans
- Transit Development Plans
- Transit Strategic Plans
- Transportation Demand Management Strategic Plans
- Transportation Demand Management Program Feasibility Studies
- Transportation Demand Management Research and Evaluation Studies
- Transit Feasibility Study
- Vanpool Program Feasibility Studies

Bike Share Program Start-Up

A Technical Assistance grant can be used to start a bike share program, if no other funding is available. Technical Assistance funding for bike share programs are not available in areas where CMAQ is available. Potential applicants should explore the use of all other funding before applying. Before applying for funding, the applicant must have conducted research or a feasibility study to determine if a bike share program is viable, the optimal type of bike share program that should be implemented, optimal locations of bikes, optimal number of bikes, and identified and received local funding support. The Technical Assistance grant program can be used for bike share research and feasibility studies. Such research should accompany an application for funding to start a new bike share program. DRPT's program managers can assist with the process of a bike share program development and funding application preparation to ensure the needed information is prepared and provided.

GRANT MATCH REQUIREMENTS

The Technical Assistance program provides state funding up to fifty percent (50%) of eligible project expenses. The grant applicant must provide a fifty percent (50%) match from non-state or federal funds.

APPLICATION EVALUATION CRITERIA & PROCESS

Technical Assistance applications will be evaluated by DRPT using the following criteria:

- Project Justification – explanation of the need/problem that the project will address
- Planning – documentation that sufficient planning has been conducted to execute the project (not necessary if the application is for conducting a plan)
- Project Scope – approach to addressing the need/problem
- Project Readiness – ability to initiate and substantially complete the project within the fiscal year the funds are being applied for
- Technical Capacity – identification of project management team and ability to execute the project
- Project Budget – ability to execute the project scope within the proposed project budget
- Project Schedule – ability to execute the project scope within the project schedule
- Monitoring and Evaluation Plan – approach to measuring performance and evaluating the results of the project

DRPT encourages local entities to involve DRPT in any transit system planning efforts. DRPT also has staff and consultant resources available to help manage transit system planning studies on behalf of local entities.

Upon completion of the evaluation process, DRPT includes the recommended applications and allocation in the Draft Six-Year Improvement Program (SYIP). The Commonwealth Transportation Board (CTB) approves the release of the draft SYIP to the public for comment in April and following receipt of public comments, the CTB approves the final SYIP in June.

To view the SYIP, please visit the [SYIP](#) page on DRPT's website.

APPLICATION REQUIREMENTS

Applications for all State Aid Grant Programs are submitted online using DRPT's Online Grant Administration website ([OLGA](#))

Required data include:

- Contact information (including Project Manager)
- Project justification
- Planning documentation
- Project scope
- Project budget
- Project schedule/milestones
- Monitoring and evaluation plan

SECTION 1.5 PUBLIC TRANSPORTATION INTERN PROGRAM

This section provides a general overview of the Public Transportation Intern grant program, identifies who can apply, describes what types of projects could qualify for funding, and specifies terms and requirements. Funding for this program comes from the Special Projects program, which includes funding for DRPT's Demonstration, Technical Assistance TDM Operating Assistance, and Mobility Programs grant programs.

ELIGIBLE APPLICANTS

Eligible grant recipients include the following public transportation agencies, including transit properties and TDM/Ridesharing organizations:

- Local and State Government
- Transportation District Commissions
- Public Service Corporations
- Planning District Commissions and Regional Planning Commissions
- Human Service Agencies Involved in Rural Public Transportation

PROGRAM DESCRIPTION

The Public Transportation Intern program supports the hiring of interns who are interested in pursuing careers in public transportation. The grant program enables qualified people to gain experience in all facets of public transportation operations through hands-on work.

This program usually funds post-collegiate internships but may also be used for pre-graduate training. It supports increased awareness of public transportation as a career choice for aspiring managers, maintenance and operations staff, marketing employees and other specialization with public transportation and rideshare agencies. This program is not to be used for staff augmentation. Applicants are responsible for conducting an open recruitment process and selecting a qualified individual that fulfills the purpose and intent of the program.

PROGRAM GOAL

The goal of the Public Transportation Intern program is to promote and develop careers in public transportation and TDM/commuter assistance. Its goal is to provide interns with hands on experience in as many aspects of public transportation or commuter assistance management and operations as possible through direct exposure to activities and methods of public transportation and commuter assistance agencies. The ultimate goal of this program is to develop the next generation of the public transportation workforce.

ELIGIBLE EXPENSES

Eligible expenses include the wages, fringe benefits, training, and travel for the intern. Intern salaries are based upon a set hourly rate; times the number of hours the intern is expected to work within one year. DRPT recommends using a rate of \$20 per hour. Applicants may

suggest a different rate based on their employment market for review by DRPT, prior to submitting the application.

GRANT MATCH REQUIREMENTS

The Intern program provides state funding up to eighty percent (80%) of eligible expenses. The applicant is required to provide a twenty percent (20%) match using local funding sources that are not state or federal funds.

APPLICATION EVALUATION CRITERIA & PROCESS

Applicants are not permitted to submit an intern application if they already have an outstanding intern grant that will not be used in the next year. Public Transportation Intern applications will be evaluated by DRPT using the following criteria:

- Project Scope – describe the intern program, the job qualifications and description
- Project Readiness – describe project readiness and how the intern program will be completed within the program year
- Technical Capacity – identification of an intern coordinator that will be responsible for supervising the intern
- Project Budget – ability to execute the project scope within the proposed project budget
- Project Schedule – ability to execute the project scope within the project schedule; include hiring schedule
- Monitor and Evaluation Plan – approach to measuring performance and evaluating the results of the project

This is a competitive grant program. Requests will be prioritized based upon the application submitted by the applicant and anticipated program outcomes. Prior experience with managing and placement of program interns will be considered.

Upon completion of the evaluation process, DRPT includes the recommended applications and allocations in the Draft Six-Year Improvement Program (SYIP). The Commonwealth Transportation Board (CTB) approves the release of the draft SYIP to the public for comment in April and following receipt of public comments, the CTB approves the final SYIP in June.

APPLICATION REQUIREMENTS AND RESPONSIBILITIES

Applications for all State Aid Grant Programs are submitted online using DRPT's Online Grant Administration website ([OLGA](#)).

Required data include:

- Contact information (including Intern Coordinator)
- Intern Work Program (a detailed explanation of work to be performed and learned, with timeline for tasks and section rotation schedule)
- Project budget
- Project schedule
- Monitoring and evaluation plan

At the conclusion of the internship, the intern must provide a written report to DRPT documenting their internship experience. The report should document the following:

- Description of the agency and the services it provides
- Description of experience gained in regards to the agency functions (planning, operations, maintenance, etc.)
- Description of the work performed by the intern for each function
- Results achieved by the intern for each function
- Lessons learned/observations for each function
- Recommendations on how to improve the internship experience

DRAFT

SECTION 1.6 TRANSPORTATION DEMAND MANAGEMENT (TDM) OPERATING ASSISTANCE

This section provides a general overview of the TDM Operating Assistance grant program, identifies who can apply, describes what types of projects could qualify for funding, and specifies terms and requirements. Funding for this program comes from the Special Projects program, which includes funding for DRPT's Demonstration, Technical Assistance, Mobility Programs, and Intern Programs.

PROGRAM DESCRIPTION

The TDM Operating Assistance grant program provides funding to support commuter assistance programs that encourage commuters and travelers to choose carpool, vanpool, transit and bike share modes for their trips to and from work or for other trip purposes.

ELIGIBLE APPLICANTS

State operating assistance is awarded to existing providers of TDM/commuter assistance programs in Virginia. Applicants seeking to establish a new TDM/commuter assistance program should apply under the Mobility Programs grant program. Prior award of funding under this grant program does not guarantee the future award of funds. Eligible applicants include TDM programs and services operated by:

- Local and State Governments
- Transportation Management Associations
- Planning District Commissions
- Transportation District Commissions
- Transit Operators

PROGRAM GOALS

This is a results/outcomes focused grant program. Applicants must demonstrate that their program or project achieves one or more of the following goals.

Congestion Mitigation (The primary goal for the Northern Virginia, Hampton Roads and Richmond regions)

- Reduce/eliminate auto trips
- Shift single occupant auto trips to non-auto and higher occupancy auto trips
- Shift auto trips to off peak times
- Increase person throughput on congested corridors
- Increase auto occupancy

Increase Use of High Occupancy Transportation and Non-Auto Modes

- Form new carpools and add riders in carpools and vanpools
- Increase transit ridership
- Increase bike share ridership

Reduce Auto Related Emissions (A primary goal for the Northern Virginia, Hampton Roads and Richmond regions)

PRIORITY PROGRAMS/PROJECTS & REQUIREMENTS

Ridematching programs that match commuters in carpools, vanpools and transit that:

- Increase the number of carpools
- Increase the number of persons using carpools and vanpools
- Increase transit ridership
- Increase bike share usage

Guaranteed/Emergency Ride Home programs that provide free or reduced rides home or to park-and-ride locations for commuters that use transit, carpool, vanpool or bike to travel to work.

The TDM Operating Assistance grant program cannot be used for vanpool programs. All vanpool programs must be submitted as a separate Mobility Programs application. Vanpool programs include all program expenses for the formation and promotion of vanpooling, including: Staff salaries and wages, fringe benefits, marketing and promotion, incentives, and financial assistance (VanStart, VanSave, monthly stipend for NTD data, etc.)

Northern Virginia agencies that receive Employer Outreach TERM funding from VDOT, must use the Mobility Programs grant program to apply for additional funds for their Employer Outreach program. These Northern Virginia agencies cannot use the TDM Operating Assistance grant program for their Employer Outreach programs.

ELIGIBLE EXPENSES

NEW REQUIREMENT: The TDM Operating Assistance program is now an expense reimbursement program. Beginning in FY2020, grant recipients will be required to submit reimbursements requests through DRPT's OLGA system to be reimbursed for eligible expenses. DRPT will no longer provide an automatic quarterly payment for TDM Operating Assistance.

It is not possible to list every eligible or ineligible expense. Therefore, it is incumbent upon the grant applicant to check with their DRPT Program Manager to determine if an expense is eligible prior to submitting an application and prior to incurring that expense. As a rule, all expenses should be necessary to the overall operation and implementation of the program or project, and be both reasonable in their nature and amount. The following eligible expenses are provided as guidance:

- Advertising, marketing and promotion media (marketing should not be primarily transit, it must include other congestion mitigation modes, such as, carpool, vanpool, telework)
- Business related travel expenses of project staff
- Communication services – cost of communications including phones, fax, postage, etc.
- Evaluation of TDM program or components of the program
- Facilities and equipment lease, rental and maintenance contracts (note: not eligible if funded through a capital grant)
- Guaranteed/Emergency Ride Home program operations

- Indirect costs – these costs can only be included if the indirect cost plans have been pre-approved by DRPT. If applicants do not have a pre-approved plan and wish to submit one to DRPT, it should be done as soon as possible. DRPT may not be able to pre-approve a plan that is submitted during the application period. Indirect costs funded through a capital grant are not eligible.
- Incentives to try carpooling or transit
- Insurance and bonding – cost of insurance, or payments to a self-insurance reserve, on property or against specific or general liabilities of the transit entity
- Office supplies, materials and equipment
- Printing and reproduction of TDM promotional and marketing materials (printing and reproduction of bus and transit schedules are NOT eligible).
- Professional services – fees and expenses paid to professionals (contractors or consultants). Includes employer outreach, vanpool formation, telework technical assistance and marketing services.
- Promotional items with a value of \$5 or less (total promotional item expenses must not exceed 5% of the total program expenses, less staff and personnel expenses and indirect costs)
- Ridematching system and services fees
- Salaries, wages and fringe benefits of program/project employees
- Training and education related to the implementation of a TDM program for TDM program employees
- Transportation association dues (excluding any portion of the dues that are for state lobbying activities)
- Uniforms – only if used for transportation fairs and promotional events
- Utilities – heat, lights, telephone, power, water and sewer expenses

INELIGIBLE EXPENSES

The following expenses are ineligible for consideration and may not be submitted. There may be other ineligible expenses not listed here. Check with your DRPT Program Manager to determine the eligibility of expenses not listed in this section or the previous section.

- Expenses not directly attributed to the operation of the TDM/commuter assistance program
- Expenses already funded through a state or federal grant or other funding sources
- Transit schedule design, production, printing and distribution
- Public notice advertising and announcements for transit service and fare changes
- Facilities or buildings
- Capital and operating expenses for transit, vanpool or other transportation services
- Meals and food and beverages (Snacks and beverages for promotional events may be pre-approved by DRPT on a case-by-case basis.)
- Transit or other transportation service fare discounts or buy-downs
- Expenses related to state or federal lobbying activities
- Operation of a bike share program or service
- Capital expenses (furniture, bicycles, vehicles, park-and-ride lots, etc.)
- Computers, printers, mobile phones and other day-to-day electronic equipment for contractors or consultants
- **Vanpool program expenses for the formation, assistance and promotion of vanpools, including program staff expenses, incentives, financial assistance and**

marketing (Applications for vanpool assistance programs must be submitted through DRPT's Mobility Programs grant program.)

Note: computers, laptops, tablets and mobile phones for use by TDM program staff may be eligible, but check with your DRPT Program Manager.

Northern Virginia agencies that receive Employer Outreach TERM funding from VDOT, must use the Mobility Programs grant program to apply for additional funds for their Employer Outreach program.

REVENUES AND OTHER FUNDING

In order to determine the proper funding amount, DRPT requires the applicant to report all operating revenues and other sources of funding with their application. Revenues and funding include, but are not limited to:

- Revenue generated by the sale of promotional items
- Advertising or sponsorship revenue
- Fees received
- Revenue from the sale of transit passes or other items
- Donations from individuals or organizations
- Funding from other state agencies
- Funding from federal sources or other entities
- Membership dues received

IMPORTANT NOTE: If local funds (non-state or federal funds), membership fees, advertising revenue, donations or other non-state or federal funds are being used as the local match for the program, DO NOT include that amount in the Funding Sources section of the application.

GRANT MATCH REQUIREMENTS

The TDM Operating Assistance program provides state funding up to eighty percent (80%) of eligible expenses. Grant applicants must provide a twenty percent (20%) local cash match from non-state or federal funds. The use of in-kind match is not allowable.

APPLICATION EVALUATION CRITERIA & PROCESS

DRPT evaluates applications based on if the program or project is a smart investment for the Commonwealth. Applications for funding are evaluated based on the realistic results and outcomes of a program/project. DRPT uses the following criteria to evaluate a TDM Operating Assistance application.

- Does the program/project meet a state TDM program goal?
- Are the goals of the program/project specific, measurable, achievable, realistic and time-framed?
- Are all aspects of the program/project included in an adopted TDM Plan?
- Is the why and the need for the program/project justified and include data to support the need?

- Does the application demonstrate that the program/project will solve the identified need?
- Is the program/project well defined and contain adequate detail of implementation and expenses?
- Does the application adequately and reasonably show how the results, outcomes and goals will be measured?
- Program/project readiness
- Does the applicant have adequate resources and technical expertise for the program/project?
- Has the applicant adequately identified a local cash match?

During the application review and evaluation period, DRPT's Program Managers will follow up with applicants to obtain additional data and explanation for the application, as needed. Applicants are advised to provide as much detail and support information and data in the application. The application recommendation process includes multiple reviews. After the Program Managers make their recommendations, their recommendations are reviewed by their section Managers and Division Chiefs, and ultimately by DRPT's Executive team. This multi-layer recommendation review process ensures a thorough and objective process.

Upon completion of the evaluation process, DRPT includes the recommended applications and allocation in the Draft Six Year Improvement Program (SYIP). The CTB approves the release of the draft program to the public for comment and following receipt of public comments, the CTB approves the final SYIP in June. To view the SYIP, visit the [SYIP](#) page on DRPT's website.

APPLICATION REQUIREMENTS

Applications for all State Aid Grant Programs are made online through DRPT's Online Grant Administration website (OLGA). To submit an application for TDM Operating Assistance, OLGA account users must log into OLGA and select Grant Applications from the menu, then select Public Transportation/TDM Applications, and finally select the TDM Operating Assistance application. Applicants must have a TDM Plan and have submitted that plan to DRPT, prior to submitting the application.

TDM Operating Assistance is a one year (12 month) grant program beginning July 1 and ending June 30. Expenses and program components provided in the application shall be for a duration of a maximum of one year.

There are two parts to the TDM Operating Assistance application. The first part is to complete the online application and the second part is to download the TDM Operating Assistance Supplemental Application, complete it in its entirety and attach it to the online application.

The online application provides a general description of the program or project. However, the budget should be very detailed, and so should the justification and schedule.

Guidance and Requirements for Completing the Online Portion of the Application

Program Name

Enter the name of the program, as it will be referred to in the grant agreement and reporting.

Program Description

Enter a description that details the components of the program, how it will be implemented, how the funds will be spent, and the expected outcomes and results. Be as detailed as possible.

Program Justification

Enter the purpose of the program, why it is needed, what need or problem it will solve.

Program Manager

Enter the name, title and contact information for the main project contact. The contact should be someone at the applicant agency and not a contractor.

Funding Sources

Enter funding sources, other than the TDM Operating Assistance grant, that will be used to fund the program or project. This includes, but not limited to, other state funds from any state or other agency, federal funds, and donations. **DO NOT enter funds that will be used for the local match.**

Revenues

Enter any revenue realized from the implementation of the program. All revenue generated must be put back into the program. Revenue includes money or fees generated from the sale merchandise and transit passes.

Operating Budget

Enter all expense line items to detail for what the funding will be used. Avoid using the “Other” category. There is only one expense line item for consultant services. It is for consultant staff wages. All tasks performed by consultants must be put in individual expense line items. Consult with your DRPT Programs Manager for appropriate expense line items.

Project Schedule/Milestones

Enter a detail schedule, including a start and end date (cannot be longer than one year), and detailed milestones. Include dates for issuing RFPs, hiring staff or contractors, major promotions (e.g. Try Transit Week, Bike to Work Day/Week, Telework Week), training, workshops and conferences, completion of reports, surveys, etc.

In order to ensure that local matching funds have been identified and committed, attach a resolution from the governing board or certification from the Chief Executive Officer stating local cash funds are committed for the program or project. If the local match certification is not available at the time the application is due, send it to the DRPT Program Manager when it is available.

Guidance and Requirements for Completing the Supplemental Application Form

Download the TDM Operating Assistance Supplemental Application form from OLGA and complete all sections of the form. Attach the form to the online application before submitting the application.

The supplemental application asks for more details about the program, including expenditure details, why the program or project is needed, goals and objectives, staffing, expected results/outcomes, how the results/outcomes will be measured, how the program will achieve the results/outcomes, and program readiness.

SECTION 1.7 MOBILITY PROGRAMS

This section provides a general overview of the Mobility Programs grant program (formerly the Transportation Management Projects (TMP) Assistance program), identifies who can apply, describes what types of projects could qualify for funding, and specifies terms and requirements. Funding for this program comes from the Special Projects program, which includes funding for DRPT's Demonstration, Technical Assistance, TDM Operating Assistance, and Intern Programs.

ELIGIBLE APPLICANTS

Eligible grant recipients include the following transportation agencies:

- Local and State Governments
- Transportation Management Associations
- Planning District Commissions
- Transportation District Commissions
- Transit Operators
- Private operators of vanpool services may be eligible on a case by case basis.

PROGRAM DESCRIPTION

The Mobility Programs grant program supports transportation demand management (TDM) projects that encourage and assist employers to develop and offer telework and commuter benefits programs to their employees, and encourage and assist residents, workers and visitors to use high occupancy modes of travel, such as, carpool, vanpool and transit.

PROGRAM GOALS

Mobility Programs is a results/outcomes focused grant program. Applicants must demonstrate that their project meets one or more of the goals below.

Congestion Mitigation (The primary goal for the Northern Virginia, Hampton Roads and Richmond regions)

- Reduce/eliminate auto trips
- Shift single occupant auto trips to non-auto and higher occupancy auto trips
- Shift auto trips to off peak times
- Increase person throughput on congested corridors
- Increase auto occupancy

Increase Use of High Occupancy and Non-Auto Transportation Modes

- Form new carpools and add riders in carpools
- Form new vanpools and add riders in vanpools
- Increase transit ridership
- Increase bike share ridership

Reduce Auto Related Emissions (A primary goal for the Northern Virginia, Hampton Roads and Richmond regions)

PRIORITY PROJECTS & REQUIREMENTS

Vanpool programs that increase the number of vanpools and increase the number of vanpool riders in Virginia and use the statewide Vanpool!VA brand. Priority programs/projects include:

- New vanpool formation
- Increase vanpool ridership
- VanStart and VanSave

Telework!VA programs and projects that:

- Increase the number of employers providing telework programs for their employees
- Increase the number of teleworkers

Employer Outreach/Services programs that:

- Increase the number of employer providing commuter benefits for employees that use transit and vanpool to get to work
- Increase the number of employers providing to employees for carpool and vanpool
- Increase the number of employees using transit, carpool and vanpool

All vanpool programs must be submitted as a separate Mobility Programs application. The vanpool program application shall include all program expenses for the formation and promotion of vanpooling, including: Staff salaries and wages, fringe benefits, marketing and promotion, incentives, and financial assistance (VanStart, VanSave, monthly stipend for NTD data, etc.)

Northern Virginia agencies that receive Employer Outreach TERM funding from VDOT, must use the Mobility Programs grant program to apply for additional funds for their Employer Outreach program.

ELIGIBLE PROJECTS

Projects that reduce single occupant vehicle travel, reduce peak time auto trips, or provide commute options including the following:

- Vanpool!VA vanpool formation, assistance and promotional programs (VanStart, VanSave, vanpool “try-it” incentives, monthly stipend for vanpool data)
- Employer Outreach programs
- Transit incentive programs
- Try Transit Week promotion
- Telework!VA Telework Week promotion
- Telework!VA telework outreach programs
- Bike to Work Week promotion
- School Pool programs
- Special marketing campaigns
- Carpool incentive programs
- Residential outreach programs

INELIGIBLE EXPENSES

The following expenses are ineligible for consideration and may not be submitted. There may be other ineligible expenses not listed here. Check with your DRPT Program Manager to determine the eligibility of expenses not listed in this section or the previous section.

- Expenses not directly attributed to the operation and implementation of the project
- Expenses already funded through a state or federal grant or other funding sources
- Indirect expenses
- Transit schedule design, production, printing and distribution
- Facilities or buildings
- Meals, food and beverages (Snacks and beverages may be approved by DRPT for promotional events.)
- Transit or other transportation service capital or operations
- Transit or other transportation service fare discounts or buy-downs (except for temporary short-term “try-it” incentives)
- Expenses related to state or federal lobbying activities.
- Capital expenses (bicycles, vehicles, park-and-ride lots, etc.)
- Computers, printers, mobile phones and other day-to-day electronic equipment for contractors or consultants

Note: computers, laptops, tablets and mobile phones for use by TDM program staff or as commuter event prizes may be eligible, but check with your DRPT Program Manager.

REVENUES AND OTHER FUNDING

In order to determine the proper funding amount, DRPT requires the applicant to submit all operating revenues along with their application. Revenues include, but are not limited to:

- Revenue generated by the sale of promotional items
- Advertising or sponsorship revenue
- Fees received
- Revenue from the sale of transit passes or other items
- Donations from individuals or organizations
- Funding from other state agencies
- Funding from federal or other sources
- Membership dues received

IMPORTANT NOTE: If local funds (non-state or federal funds), membership fees, advertising revenue, donations or other non-state or federal funds are being used as the local match for the program, **DO NOT** include that amount in the Funding Sources section of the application.

GRANT MATCH REQUIREMENTS

The Mobility Programs grant program provides state funding up to eighty percent (80%) of eligible expenses. Grant applicants must provide a twenty percent (20%) in cash match using non-state or federal funding. The use of in-kind match is not allowable.

APPLICATION EVALUATION CRITERIA & PROCESS

Applications for funding are evaluated based on the realistic results and the anticipated outcomes of a program/project. DRPT uses the following criteria to evaluate a TDM Operating Assistance application.

- Does the program/project meet a state TDM program goal?
- Are the goals of the program/project specific, measurable, achievable, realistic and time-framed?
- Are all aspects of the program/project included in an adopted TDM Plan?
- Is the why and the need for the program/project justified and include data to support the need?
- Does the application demonstrate that the program/project will solve the identified need?
- Is the program/project well defined and contain adequate detail of implementation and expenses?
- Does the application adequately and reasonably show how the results, outcomes and goals will be measured?
- Program/project readiness
- Does the applicant have adequate resources and technical expertise for the program/project?
- Has the applicant adequately identified a local match?

Applicants are advised to provide as much detail and support information and data in the application. During the application review and evaluation period, DRPT's Program Managers will follow up with applicants to obtain additional data and explanation for the application, as needed.

Upon completion of the evaluation process, DRPT includes the recommended applications and allocation in the Draft Six Year Improvement Program (SYIP). The CTB approves the release of the draft program to the public for comment and following receipt of public comments, the CTB approves the final SYIP in June. To view the SYIP, visit the SYIP page on DRPT's website.

APPLICATION REQUIREMENTS

Applications for all State Aid Grant Programs are made online on DRPT's Online Grant Administration website (OLGA). To submit an application for Mobility Programs, OLGA account users must log into OLGA and select Grant Applications from the menu, then select Public Transportation/TDM Applications, and finally select the Mobility Programs application.

There are two parts to the Mobility Programs application. The first part is to complete the online application and the second part is to download the Mobility Programs Detailed Supplemental Application, complete it in its entirety and attach it to the online application.

The online application provides a general description of the program or project. However, the budget should be very detailed, and so should the justification and schedule.

Guidance and Requirements for Completing the Online Portion of the Application

Project Name

Enter the name of the project or program, as it will be referred to in the grant agreement and reporting.

Project Description

Enter a description that details the components of the program or project, how it will be implemented, how the funds will be spent, and the expected outcomes and results. Be as detailed as possible.

Project Justification

Enter the purpose of the program or project, why it is needed, what need or problem it will solve.

Project Manager

Enter the name, title and contact information for the main project contact. The contact should be someone at the applicant agency and not a contractor.

Funding Sources

Enter funding sources, other than the Mobility Programs grant, that will be used to fund the program or project. This includes, but not limited to, other state funds from any state or other agency, federal funds, and donations. **DO NOT enter funds that will be used for the local match.**

Revenues

Enter any revenue realized from the implementation of the program or project. All revenue generated must be put back into the program or project. Revenue includes money or fees generated from the sale merchandise and transit passes.

Operating Budget

Enter all expense line items to detail for what the funding will be used. Avoid using the “Other” category. There is only one expense line item for consultant services. It is for consultant staff wages. All tasks performed by consultants must be put in individual expense line items. Consult with your DRPT Programs Manager for appropriate expense line items.

Project Schedule/Milestones

Enter a detail schedule, including a start and end date (cannot be longer than two years), and detailed milestones. Include dates for issuing RFPs, hiring staff or contractors, major promotions (e.g. Try Transit Week, Bike to Work Day/Week, Telework Week), training, workshops and conferences, completion of reports, surveys, etc.

In order to ensure that local matching funds have been identified and committed, attach a resolution from the governing board or certification from the Chief Executive Officer stating local

cash funds are committed for the program or project. If the local match certification is not available at the time the application is due, send the certification or signed resolution to the DRPT Program Manager when it is available.

Guidance and Requirements for Completing the Detailed Supplemental Application Form

Download the Mobility Programs Detailed Supplemental Application form from OLGA and complete all sections of the form. Attach the form to the online application before submitting the application.

The supplemental application asks for more details about the program or project, including expenditure details, why the program or project is needed, goals and objectives, staffing, expected results/outcomes, how the results/outcomes will be measured, how the program or project will achieve the results/outcomes, and program/project readiness.

DRAFT

SECTION 1.8 SENIOR TRANSPORTATION PROGRAM

This section provides a general overview of the Senior Transportation Program grant program, identifies who can apply, describes what types of projects could qualify for funding, and specifies terms and requirements.

PROGRAM DESCRIPTION

The Senior Transportation Program supports operating expenses for new transportation services for adults 60 years of age and older.

PROGRAM GOAL

The overall program goal is to improve the quality and increase the quantity of coordinated transportation services available for seniors.

ELIGIBLE APPLICANTS

There are two categories of eligible recipients:

Private Nonprofit Organizations: A nonprofit organization is a corporation or association determined by the Secretary of the Treasury to be an organization described by 26 U.S.C. 501(c), which is exempt from taxation, or one which has been determined under state law to be nonprofit and for which the designated state agency has received documentation certifying the status of the nonprofit organization.

Operators of Public Transportation: Private operators of public transportation services can also partner with an eligible recipient.

COORDINATED HUMAN SERVICE MOBILITY PLAN

The Coordinated Human Service Mobility (CHSM) Plan identifies the transportation needs of individuals with disabilities, seniors, and people with low incomes; provides strategies for meeting those local needs; and prioritizes transportation services and projects for funding and implementation. The CHSM Plans are organized geographically around Planning District Commissions (PDCs), which have been chartered by the local governments of each planning district under the Regional Cooperation Act to conduct planning activities on a regional basis. The CHSM Plans were developed and approved through a process that included participation by seniors, individuals with disabilities, representatives of public, private, nonprofit transportation and human services providers, and other members of the public.

Elements of a plan include:

- (1) An assessment of available services that identifies current transportation providers (public, private, and nonprofit)
- (2) An assessment of transportation needs for individuals with disabilities and seniors. This assessment can be based on the experiences and perceptions of the planning partners or on more sophisticated data collection efforts, and gaps in service

- (3) Strategies, activities, and / or projects to address the identified gaps between current services and needs, as well as opportunities to achieve efficiencies in service delivery
- (4) Priorities for implementation based on resources (from multiple program sources), time, and feasibility for implementing specific strategies and / or activities identified

Senior Transportation program projects that are selected for funding must be consistent with the approved CHSM Plan of any region within whose boundaries the project is located in whole or in part.

To view the regional coordinated plans, please visit the CHSM Plans page on DRPT's website.

ELIGIBLE PROJECTS

DRPT encourages projects that will utilize and build upon existing transportation providers and current staffing structures, with an emphasis on the following priorities:

Supporting new voucher programs for transportation services for seniors. The Senior Transportation Program can provide vouchers to seniors to purchase rides, including: (a) mileage reimbursement as part of a volunteer driver program; (b) a taxi or Transportation Network Company (TNC) trip; or (c) trips provided by a human service agency. Transit passes for use on existing fixed route or ADA complementary paratransit service are not eligible.

Supporting volunteer driver and aide programs. The Senior Transportation Program can support new volunteer driver programs, including the costs associated with the administration, management of driver recruitment, safety, background checks, scheduling, coordination with passengers, and other related support functions, mileage reimbursement, and insurance associated with volunteer driver programs. The costs of new enhancements to increase capacity of existing volunteer driver programs are also eligible. In addition, the Senior Transportation Program can support projects that provide a higher level of assistance to enable seniors to access transportation options, including aide programs that provided door-to-door or door-through-door services.

Supporting travel training programs. The Senior Transportation Program can support projects that provide seniors with instruction in the use of existing public transportation services, such as training in planning trips and reading bus schedules.

Supporting new and/or expanded coordinated transportation services for seniors. The Senior Transportation Program can support new coordinated transportation services or help expand existing coordinated services that expand mobility options for seniors. This could include mobility management strategies that promote access to a variety of transportation services, coordinated travel training and trip planning activities, coordination transportation information on various travel modes, or manage eligibility requirements and arrangements.

GRANT MATCH REQUIREMENTS

The Senior Transportation Program provides state funding up to eighty percent (80%) of eligible expenses. Grant applicants must provide a twenty percent (20%) local match.

APPLICATION EVALUATION CRITERIA & PROCESS

Before beginning the application process, please make sure your organization is eligible to apply for the Senior Transportation grant. Completed applications submitted on time will be included in DRPT's competitive selection process.

Projects will be evaluated on the following criteria:

- **Project Justification** – explanation of the need/problem that the project will address
- **Planning** – documentation that sufficient planning has been conducted to execute the project
- **Project Scope** – approach to addressing the need/problem
- **Project Readiness** – ability to initiate and substantially complete the project within the fiscal year the funds are being applied for
- **Technical Capacity** – identification of project management team and ability to execute the project
- **Project Budget** – ability to execute the project scope within the proposed project budget
- **Project Schedule** – ability to execute the project scope within the project schedule
- **Monitoring and Evaluation Plan** – approach to measuring performance and evaluating the results of the project

Upon completion of the evaluation process, DRPT includes the recommended applications and allocation in the Draft Six-Year Improvement Program (SYIP). The Commonwealth Transportation Board (CTB) approves the release of the draft SYIP to the public for comment in April and following receipt of public comments, the CTB approves the final SYIP in June.

To view the SYIP, please visit the [SYIP](#) page on DRPT's website.

APPLICATION REQUIREMENTS

Applications for all State Aid Grant Programs are made online on DRPT's Online Grant Administration website (OLGA).

Required data include:

- Contact information (including Project Manager)
- Project justification
- Planning documentation (including cost estimation methodology)
- Project scope
- Project schedule
- Project budget
- Monitoring and evaluation plan

Application budgets must be at least \$5,000 and no more than \$25,000.

In order to ensure that local matching funds will be available for all applications recommended by DRPT for funding, a certification from the Chief Executive Officer of the entity applying for funding must be submitted to DRPT in May prior to the development of the Final Six Year Improvement Program. DRPT will provide future guidance on the form of the certification.

CHAPTER 2 - FEDERAL AID GRANT PROGRAMS

Sections 2.1 through 2.6 present Federal Aid Grant Programs in the following order:

- Metropolitan Planning (FTA Section 5303)
- Small Urban Areas Program (FTA Section 5307) – **No application for this program**
- Enhanced Mobility of Seniors and Individuals with Disabilities (FTA Section 5310)
- Rural Areas (FTA Section 5311)

FAST Act

Congress establishes the funding for the FTA Programs through authorizing legislation that amends Chapter 53 of Title 49 of the U.S. Code. On December 4, 2015, President Obama signed the Fixing America's Surface Transportation (FAST) Act, reauthorizing surface transportation programs through Fiscal Year 2020.

FAST Act – Designated Recipients; Applications to DRPT

Under the FAST Act, funds are apportioned based on each state's share of the targeted populations. MPOs and other entities are allowed, under the FAST Act, to be designated recipients for large urbanized areas (over 200,000).

In accordance with Federal Transit Administration (FTA) guidance related to implementation of the FAST Act, and by mutual agreement, DRPT will serve as the designated recipient for the Richmond/Petersburg, Roanoke, and Hampton Roads Urbanized Areas. The Metropolitan Washington Council of Governments (COG) will serve as the recipient of Section 5310 funds for the Washington D.C., MD, and VA Urbanized Area and most applicants serving this area should apply to COG. However, to best meet the capital needs of Virginia based projects primarily serving Virginia communities in the urbanized area, DRPT will accept capital (vehicle only) applications from entities eligible to receive traditional Section 5310 funding.

To be clear, all eligible applicants, including those in rural areas, small urban areas, and those in large urbanized areas of Richmond, Roanoke, and Hampton Roads, should apply to DRPT for funding to support projects under Section 5310, and for projects formerly eligible under the New Freedom grant programs, in accordance with this guidance document.

There is no application for Small Urban Areas Program FTA 5307 program. The FTA allocates 5307 funding on a population-based formula to be dispensed by the Governor. This Governor's Apportionment of 5307 funds is dispensed by DRPT. DRPT allocates the 5307 funds based on the FTA Federal Register that issues the apportionment each year. FTA 5307 funding listed for Kingsport is allocated to the remaining small urban recipients based on the latest audited operating costs because Kingsport does not operate transit in Virginia. If the FTA Federal Register is not published before the final SYIP is made available for approval, DRPT will use the latest best estimate.

FEDERAL AID GRANT PROGRAM COMMON APPLICATION REQUIREMENTS

Application requirements vary across the Federal Aid Grant Programs administered by DRPT. Specifics are detailed in each grant program's individual section. However, all Federal Aid Grant Program applications must include execution of the FTA's certifications and assurances.

Certifications and Assurances

There are currently twenty-four categories of certifications and assurances:

1. Assurances Required for Each Applicant
2. Lobbying
3. Procurement Compliance
4. Protections for Private Providers of Public Transportation
5. Public Hearing
6. Acquisition of Rolling Stock for Use in Revenue Service
7. Acquisition of Capital Assets by Lease
8. Bus Testing
9. Charter Service Agreement
10. School Transportation Agreement
11. Demand-Responsive Service
12. Alcohol Misuse and Prohibited Drug Use
13. Interest and Other Financing Costs
14. Intelligent Transportation Systems
15. Urbanized Area Formula Program
16. Clean Fuels Grant Program
17. Elderly Individuals and Individuals with Disabilities Formula Program and Pilot Program
18. Nonurbanized Area Formula Program for States
19. Job Access and Reverse Commute Program
20. New Freedom Program
21. Paul S. Sarbanes Transit in Parks Program
22. Tribal Transit Program
23. TIFIA Projects
24. Deposits of Federal Financial Assistance to State Infrastructure Banks

FTA's annual certifications and assurances permit the applicant to submit a single certification to cover all of the programs for which it anticipates submitting an application. When available, the certification and assurances form will be included on the application screen in OLGA. Compliance with applicable certifications and assurances and circular provisions is required, as a condition of funding. Electronic signature of the certifications and assurances will be enabled in OLGA, when the effective edition of the document becomes available.

SECTION 2.1 METROPOLITAN PLANNING (FTA SECTION 5303)

This section provides a general overview of the FTA Section 5303 program, identifies who can apply, describes what types of projects qualify for funding, and specifies terms and requirements.

Statutory References: [49 USC §5303 – Metropolitan Planning](#)

ELIGIBLE APPLICANTS

Eligible applicants of Section 5303 include State DOTs and MPOs, where federal planning funds are first apportioned to State DOTs, DRPT in Virginia, by a formula. Funding is further allocated to the MPOs based on a formula approved by the FTA and FHWA.

PROGRAM DESCRIPTION

Federal Section 5303 – Metropolitan Transportation Planning is a formula based funding program that provides funding and procedural requirements for multimodal transportation planning in metropolitan areas and states. Planning needs to follow the 3C approach: cooperative, continuous, and comprehensive, resulting in long-range plans and short-range programs reflecting transportation investment priorities.

PROGRAM GOALS

The goals of the Section 5303 program are to foster regional cooperation in the planning process to develop multimodal short-range and long-range plans that: (1) encourage and promote the safe and efficient management, operation, and development of public transportation systems that will serve the mobility needs of people and freight and foster economic growth and development within and between States and urbanized areas, while minimizing transportation related fuel consumption and air pollution through metropolitan and statewide transportation planning processes; and (2) encourage the continued improvement and evolution of the metropolitan and statewide transportation planning processes by metropolitan planning organizations, State departments of transportation, and public transit operators.

It is anticipated that MPOs will utilize 5303 funding to support the development of Urban Transit Agency Strategic Plans, required by § 33.2-286 of the *Code of Virginia*.

ELIGIBLE PROJECTS

Eligible activities for Section 5303 funding including planning activities that:

- A. Support the economic vitality of the metropolitan area, especially by enabling global competitiveness, productivity, and efficiency
- B. Increase the safety of the transportation system for motorized and nonmotorized users
- C. Increase the security of the transportation system for motorized and nonmotorized users
- D. Increase accessibility and mobility of people and for freight

- E. Protect and enhance the environment, promote energy conservation, improve quality of life, and promote consistency between transportation improvements and State and local planned growth and economic development patterns
- F. Enhance the integration and connectivity of the transportation system, across and between modes, for people and freight
- G. Promote efficient system management and operation
- H. Emphasize preservation of existing transportation system

GRANT MATCH REQUIREMENTS

The federal share is not to exceed eighty percent (80%) of the eligible expenses of the projects funded under the program. The Commonwealth, through DRPT, provides state funding match of ten percent (10%) and the applicant must provide the remaining ten percent (10%) local match share from local funding sources. Other state or federal funds cannot be used as local match.

APPLICATION SELECTION PROCESS

DRPT will review applications to ensure they include the required information and documents, and the total expense amount in the application and the UPWP match the amount provided by DRPT. The projects and expense items in the application must match those in the UPWP.

APPLICATION REQUIREMENTS

Applications for FTA 5303 planning and state match are made online on DRPT's Online Grant Administration website (OLGA).

At the time of application submittal, applicants must sign their certifications and assurances as required by the FTA annually. See the **Federal Aid Grant Program Common Application Requirements** section under Federal Aid Grant Programs at the beginning of this chapter for more information.

The application must include a copy of the Unified Planning Work Program (UPWP). The UPWP defines staff responsibilities, partner agencies, and consultant work activities in support of the MPO's planning process, and identifies other federally funded transportation planning studies and pass through funding to local governments, transit agencies, and others for transportation studies and activities. UPWPs follow a fiscal year format (July 1 – June 30) and require a strict schedule for development in order to receive funding from partner agencies.

The FTA authorizes 5303 funding on an annual basis. However, some projects may carry over to the next year and continued with funds from the prior year. In such instances, **carryover funds are not to be included or calculated in the current fiscal year's grant application request and must be clearly documented as separate expenditures in the UPWP.**

DRPT, as a partner agency to MPOs, will review draft and final UPWPs before acceptance of the document as evidence of fulfillment of the objectives of the MPO's work program. Approval of the UPWP does not constitute endorsement or state approval of any recommended

improvements or projects, nor does it constitute approval of location and design or a commitment to fund any such improvements.

The sequence of events for UPWP development should include:

1. Identification and documentation of planning priorities and a review of partner agency requirements. This includes review of new planning and programming regulations and requirements of the FAST Act or current federal legislation.
2. A review by the MPO of initial staff time allocations, work assignments, work tasks, and cost information for the UPWP.
3. A request for input for proposed work tasks from various committees including the Technical Advisory Committee (TAC), Citizens Transportation Advisory Committee (CTAC), and other special committees such as Elderly and Disability Advisory Committees if active.
4. A review of proposed staff work tasks and budgets with the TAC.
5. Submission of the draft UPWP to partner agencies for review on proposed work tasks and budgets.
6. Presentation of and action by the MPO Policy Board to adopt the UPWP.
7. Amendment of an adopted UPWP per MPO action to reflect updates to time allocations, work activities, PL transfer and FTA Section 5303 carryover funds and schedules
8. MPO action to authorize filing of grant applications and execution of contracts.

Typical application cycle milestones

Different MPOs have different processes and timelines for approvals of their UPWPs. Milestones noted below are for reference only.

February: DRPT will provide Section 5303 funding estimates by February 15. If the Federal Register containing federal 5303 funding apportionments has been released by February 15, then the funding amount provided by DRPT will be the actual FTA funding amount. Otherwise, DRPT will provide an estimate based on the prior year funding. The UPWP should be developed based on the amount provided by DRPT.

January – April: The draft UPWP is submitted by the MPO to DRPT. It shall include details on the initial staff time allocations, work assignments, work tasks, and cost information for the MPO's work program and activities. DRPT will also review details on projects involving the agency due to 5303 funding, an anticipated partnership, or stakeholder relationship. Depending on the development schedule for the MPO, DRPT will provide feedback on the UPWP.

March – April: MPO adopts UPWP that should incorporate comments received by partner agencies. The approval action must be completed prior to June 30 of the year.

May 1: MPO applications are due in OLGA. MPOs should also have an analytic basis in place for certifying their compliance with Title VI, in accordance with [FTA Circular C 4702.1B Title VI and Title VI – Dependent Guidelines for Federal Transit Administration Recipients](#). MPOs should report on their Title VI procedures (consistent with Chapter II part 4 of Circular C 4702.1B) annually during DRPT's 5303 application review process. In the case where an MPO has not finalized its UPWP, a draft UPWP is sufficient for application submission and review for FTA 5303 funds. A final, approved copy must be provided before the application can be approved.

June – July: After the Draft SYIP is presented to the CTB, DRPT will publish the SYIP and will work with MPOs to ensure that the approved funding for 5303 is incorporated where required.

June – September: DRPT applies for Section 5303 funding from the FTA and once approved, DRPT will prepare a federal project agreement and state project agreement for matching funds.

October 1: The funds become available and agreements are available for approval.

SECTION 2.3 SMALL URBAN AREAS PROGRAM (FTA SECTION 5307)

This section provides a general overview of the FTA Section 5307 Small Urban Areas Program, explains how funding is allocated, what agencies receive the funding, describes what types of projects qualify for funding, and specifies terms and requirements.

The FTA Section 5307 program is authorized under the Fixing America's Surface Transportation (FAST) Act passed on December 3, 2015 (Statutory Reference: 49 U.S.C. Section 5307 / FAST Act Section 3004).

Please refer to FTA's website and Circular for specific compliance information and a more comprehensive FTA Section 5307 program guidance.

DESIGNATED RECIPIENTS & SUBRECIPIENTS

DRPT administers the FTA Section 5307 program as the designated recipient, with direct oversight from FTA, for the following areas in Virginia:

- Small Urbanized Areas / UZAs (population between 50,000 and 200,000 people)

Federal guidelines allow DRPT to award FTA 5307 funds to qualifying subrecipients.

Eligible subrecipients include:

- Public transportation operators, including Transit Authorities and Transit Companies
- Cities and Planning District Commissions that operate public transportation

Subrecipient eligibility is maintained by complying with grant requirements. Failure to comply with grant requirements, including mismanagement of grant funding, can result in the termination of the grant, refund of full or partial grant proceeds, and ineligibility for future grant opportunities with DRPT.

PROGRAM DESCRIPTION

FTA Section 5307 is not an application-based funding program. It is a federal formula based funding program where DRPT distributes funds to designated subrecipients.

This program makes federal resources available to urbanized areas and to Governors for transit capital, operating assistance, jobs access, reverse commute projects, and for transportation related planning. (Note: This can include expenses formerly supported through the Section 5316 JARC grant program). An urbanized area is an incorporated area with a population of 50,000 or more that is designated as such by the U.S. Department of Commerce, Bureau of the Census. The 5307 program is a federal formula based funding program.

PROGRAM GOALS

The goals of the FTA Section 5307 program are to improve and maintain transit service in the urbanized areas.

ELIGIBLE PROJECTS

Each of the small urban recipients apply for 5307 funding directly from the FTA. The 5307 funding may be used to cover up to 50% of a recipient's operating deficit, as well as any eligible other expenses. Note that, while DRPT does not match expenses for preventive maintenance, the FTA recognizes preventive maintenance as a capital expense.

GRANT MATCH REQUIREMENTS

The federal share is not to exceed eighty percent (80%) of the net project cost for capital expenditures. The federal share may be ninety percent (90%) for the cost of vehicle-related equipment attributable to compliance with the Americans with Disabilities Act and the Clean Air Act. The federal share may not exceed fifty percent (50%) of the net project cost of operating assistance. The subrecipient is required to provide the necessary match amount.

ALLOCATION OF FUNDS

Recipients do not submit an application for the FTA 5307 program. DRPT allocates funding by applying the federal apportionments in the Federal Register. The recipient will then apply to the FTA for the amount of funding allocated in the SYIP.

The FTA allocates 5307 funding on a population-based formula to be dispensed by the Governor. This Governor's Apportionment of 5307 funds is dispensed by DRPT. DRPT allocates the 5307 funds based on the FTA Federal Register that issues the apportionment each year. FTA 5307 funding listed for Kingsport is allocated to the remaining small urban recipients based on the latest audited operating costs because Kingsport does not operate transit in Virginia. If the FTA Federal Register is not published before the final SYIP is made available for approval, DRPT will use the latest best estimate. DRPT makes adjustments as needed for apportionments to urbanized areas that do not provide transit or for multiple providers within an urbanized area (based upon MPO approved split letters).

SECTION 2.4 ENHANCED MOBILITY OF SENIORS AND INDIVIDUALS WITH DISABILITIES PROGRAM (FTA SECTION 5310)

This section provides a general overview of the FTA Section 5310 program, identifies who can apply, describes what types of projects could qualify for funding, and provides subrecipient terms and requirements.

The FTA Section 5310 program is authorized under the Fixing America's Surface Transportation (FAST) Act passed on December 3, 2015 (Statutory Reference: 49 U.S.C. Section 5310 / FAST Act Section 3006). There were no rule changes that affect the FTA Section 5310 program. On July 7, 2014, the Federal Transit Administration (FTA) published Final FTA Circular FTA C 9070.1G, incorporating project types from the repealed New Freedom (FTA Section 5317) program.

Please refer to FTA's website and Circular for specific compliance information and a more comprehensive FTA Section 5310 program guidance.

DESIGNATED RECIPIENTS & ELIGIBLE APPLICANTS

DRPT administers the FTA Section 5310 program as the designated recipient, with direct oversight from FTA, for the following areas in Virginia:

- Rural Areas (less than 50,000 people)
- Small Urbanized Areas / UZAs (at least 50,000 people but less than 200,000 people)
- By mutual agreement, the Large Urbanized Areas / UZAs (200,000 or more people) of Hampton Roads, Richmond, and Roanoke

The Metropolitan Washington Council of Governments (COG) administers the FTA Section 5310 program for the Northern Virginia jurisdictions, including the City of Alexandria, Arlington County, City of Fairfax, Fairfax County, City of Falls Church, Loudoun County, City of Manassas, City of Manassas Park, and Prince William County. Eligible applicants serving the Northern Virginia area apply to the COG.

Federal guidelines allow DRPT to award FTA 5310 funds to subrecipients, as designated by DRPT. Eligible subrecipients include:

- Private nonprofit organizations
- State or local governments that (1) are approved by the state to coordinate services for seniors and individuals with disabilities, or (2) certifies that there are no nonprofit organizations readily available in the area to provide the service; or operators of public transportation that receive FTA 5310 grant funding indirectly through a recipient.
- Public transportation operators

Subrecipient eligibility is maintained by complying with grant requirements. Failure to comply with grant requirements, including mismanagement of grant funding, can result in the termination of the grant, refund of full or partial grant proceeds, and ineligibility for future grant opportunities with DRPT.

PROGRAM DESCRIPTION

The FTA 5310 grant program supports transportation services for seniors and individuals with disabilities. Activities formerly funded under the New Freedom program are eligible for funding under FTA's Enhanced Mobility of Seniors & Individuals with Disabilities Program (Section 5310)

PROGRAM GOALS

The purpose of the FTA Section 5310 program is to improve mobility for seniors and individuals with disabilities by removing barriers to transportation services and expanding the transportation mobility options available. The program requires coordination with other federally assisted programs and services in order to make the most efficient use of federal resources.

There are four goal areas of the FTA Section 5310 program:

1. Transportation projects planned, designed, and carried out to meet the special needs of seniors and individuals with disabilities when public transportation is insufficient, inappropriate, or unavailable (Traditional FTA Section 5310 Projects)
2. Increase public transit projects that exceed ADA requirements
3. Improve access to fixed-route services and decrease reliance on paratransit
4. Alternatives to public transit that assist seniors and individual with disabilities with transportation

ALLOCATION OF FUNDS

Under the FTA Section 5310 formula, funds are allocated using Census data on seniors and people with disabilities. However, beginning in 2010, the Census Bureau stopped collecting this demographic information as part of its decennial census. Data on seniors and people with disabilities is now only available from the American Community Survey (ACS), which is conducted and published on a rolling basis. FTA's FY 2017 Section 5310 apportionments is based on funding authorized under the FAST Act and the Consolidated Apportions Act of 2017 (Public Law 115-31) .

Projects are determined to be rural, small urban, or urban based on who the project is serving and the place of performance. For an example, if the project begins in a rural area and takes those rural residents to locations in an urban area, yet does not pick up or transport residents in that urban area, that would be a rural program.

Of the total FTA Section 5310 funds available, FTA apportions:

60% to Large Urbanized Areas

- Richmond, VA
- Roanoke, VA
- Hampton Roads (Williamsburg, VA and Virginia Beach, VA urbanized areas)

20% to Small Urbanized Areas

- Blacksburg, VA
- Bristol-Bristol, TN-VA
- Charlottesville, VA
- Fredericksburg, VA
- Harrisonburg, VA
- Kingsport, TN-VA
- Lynchburg, VA
- Staunton-Waynesboro, VA
- Winchester, VA

20% to Rural Areas

FTA Section 5310 funding is highly competitive in the small urban and rural areas. Capital and operating requests in small urban and rural areas are expected to exceed funding availability.

COORDINATED HUMAN SERVICE MOBILITY PLAN

The Coordinated Human Service Mobility (CHSM) Plan identifies the transportation needs of individuals with disabilities, seniors, and people with low incomes; provides strategies for meeting those local needs; and prioritizes transportation services and projects for funding and implementation. The CHSM Plans are organized geographically around Planning District Commissions (PDCs), which have been chartered by the local governments of each planning district under the Regional Cooperation Act to conduct planning activities on a regional basis. The CHSM Plans were developed and approved through a process that included participation by seniors, individuals with disabilities, representatives of public, private, nonprofit transportation and human services providers, and other members of the public.

Elements of a CHSM plan include:

- An assessment of available services that identifies current transportation providers (public, private, and nonprofit)
- An assessment of transportation needs for individuals with disabilities and seniors. This assessment can be based on the experiences and perceptions of the planning partners or on more sophisticated data collection efforts, and gaps in service
- Strategies, activities, and / or projects to address the identified gaps between current services and needs, as well as opportunities to achieve efficiencies in service delivery
- Priorities for implementation based on resources (from multiple program sources), time, and feasibility for implementing specific strategies and / or activities identified

The FTA Section 5310 program requires projects selected for funding to be consistent with the approved CHSM Plan of any region within whose boundaries the project is located in whole or in part. FTA 5310 applicants are required to participate in the CHSM Team meetings each fall prior to the opening of the grant cycle.

DRPT is updating the CHSM Plan and will be soliciting participation from the public and stakeholder groups to provide input on unmet needs and identify strategies for action.

To view the regional coordinated plans, please visit the CHSM Plans page on DRPT's website.

TRADITIONAL FTA SECTION 5310 PROJECTS

The FTA requires that at least 55% of any rural, small urbanized area, or large urbanized area's annual apportionment be utilized for public transportation capital projects that are planned, designed, and carried out to meet the specific needs of seniors and individuals with disabilities.

Eligible capital expenses that meet the 55% requirement include:

1. Rolling stock and related activities for FTA Section 5310 funded vehicles
 - a. Acquisition of expansion or replacement ADA accessible buses or vans, and related procurement, testing, inspection, and acceptance costs
 - b. Radios and communication equipment for the vehicle
 - c. Vehicle wheelchair lifts, ramps, and securement devices
2. Support equipment for FTA Section 5310 funded vehicles
 - a. Computer hardware and software
 - b. Transit-related intelligent transportation systems (ITS)
 - c. Dispatch systems
 - d. Fare collection systems
3. Mobility management and coordination programs among public transportation providers and other human service agencies providing transportation is an eligible capital cost. Mobility management techniques enhance transportation access for populations beyond those served by one agency or organization within a community. For example, a nonprofit agency could receive FTA Section 5310 funding to support the costs of sharing services it provides to its own clientele with other seniors and/or individuals with disabilities and coordinate usage of vehicles with other nonprofits, but not the operating costs of service. Mobility management is intended to build coordination among existing public transportation providers and other transportation service providers with the result of expanding the availability of service. Mobility management activities may include:
 - a. The promotion, enhancement, and facilitation of access to transportation services, including the integration and coordination of services for individuals with disabilities, seniors, and low-income individuals
 - b. The operation of transportation brokerages to coordinate providers, funding agencies, and passengers

TRADITIONAL PROJECTS (55% MINIMUM)

BUSES AND VANS, WHEELCHAIR
LIFTS, RAMPS, AND SECUREMENT
DEVICES

MOBILITY MANAGEMENT

TRANSIT RELATED TECHNOLOGY
FOR SCHEDULING, ROUTING, ONE-
CALL SYSTEMS

- c. The provision of coordination services, including employer-oriented transportation management organizations' and human service organizations' customer-oriented travel navigator systems and neighborhood travel coordination activities such as coordinating individualized travel training and trip planning activities for customers
- d. The development and operation of one-stop transportation traveler call centers to coordinate transportation information on all travel modes and to manage eligibility requirements and arrangements for customers among supporting programs
- e. Operational planning for the acquisition and implementation of intelligent transportation technologies to help plan and operate coordinated systems inclusive of geographic information systems (GIS) mapping, global positioning system technology, coordinated vehicle scheduling, dispatching and monitoring technologies, as well as technologies to track costs and billing in a coordinated system, and single smart customer payment systems. (Acquisition of technology is also eligible as a standalone capital expense)

NON-TRADITIONAL FTA SECTION 5310 PROJECTS

The FTA allows up to 45% of rural, small urbanized area, or large urbanized area's annual apportionment be utilized for "non-traditional" or "other" eligible expenses. This category incorporates the project types from the repealed New Freedom (FTA Section 5317) program.

Eligible operating expenses may include:

- 1. Public transportation projects planned, designed, and carried out to meet the special needs of seniors and individuals with disabilities when public transportation is insufficient, inappropriate, or unavailable
- 2. Public transportation projects that exceed the requirements of ADA
 - a. Enhancing paratransit beyond minimum requirements of the ADA. ADA-complementary paratransit services can be eligible under the FTA Section 5310 program in several ways:
 - i. Expansion of paratransit service parameters beyond the three-fourths mile required by the ADA
 - ii. Expansion of current hours of operation for ADA paratransit services that are beyond those provided on the fixed-route services
 - iii. The incremental cost of providing same day service
 - iv. The incremental cost (if any) of making door-to-door service available to all eligible ADA paratransit riders, but not on a case-by-case basis for individual riders in an otherwise curb-to-curb system
 - v. Enhancement of the level of service by providing escorts or assisting riders through the door of their destination

NON-TRADITIONAL PROJECTS

(UP TO 45%)

TRAVEL TRAINING, VOLUNTEER
DRIVER PROGRAMS

EXPANSION OF PARATRANSIT
SERVICE BEYOND REQUIRED ¾-
MILE

OPERATING ASSISTANCE

- b. Feeder services. Accessible “feeder” service (transit service that provides access) to commuter rail, commuter bus, intercity rail, and intercity bus stations, for which complementary paratransit service is not required under the ADA
3. Public transportation projects that improve access to fixed route service and decrease reliance by individuals with disabilities on ADA complementary paratransit service;
 - a. Travel training. Training programs for individual users on awareness, knowledge, and skills of public and alternative transportation options available in their communities. This includes travel instruction and travel training services
4. Alternatives to public transportation that assist seniors and individuals with disabilities with transportation. The following activities are examples of projects that are eligible public transportation alternatives.
 - a. The FTA Section 5310 program can provide vouchers to seniors and individuals with disabilities to purchase rides, including: (a) mileage reimbursement (for use of personal vehicles at GSA rate) as part of a volunteer driver program; (b) a taxi trip; or (c) trips provided by a human service agency. Providers of transportation can then submit the voucher for reimbursement to the recipient for payment based on predetermined rates or contractual arrangements. Vouchers are an operational expense which requires a 50/50 (federal/local) match.
5. Operating expenses limited to transportation that directly benefits seniors and individuals with disabilities. Eligible expenses include driver salaries, fuel expenses, and preventive maintenance (e.g. oil change), trip planning software service expenses, and limited administrative costs for administering the grant that is directly related to the transportation program for seniors and/or individuals with disabilities. Operating projects must be described and promoted as transportation services for seniors and individuals with disabilities on agency’s websites and other publications.

FEDERAL & LOCAL MATCHING REQUIREMENTS

Mobility management projects require a four percent (4%) local match. The state provides a 16% match from the state’s paratransit funds. The federal share for these projects is eighty percent (80%).

For FTA 5310 capital vehicle projects, subrecipients will be responsible to provide a twenty percent (20%) local match toward the total vehicle cost (usually in the fall following grant award). If actual costs are greater than the estimated total cost in the adopted SYIP, it will be the responsibility of the subrecipient to provide the difference. If actual costs are less than the estimated total cost, the difference will remain in DRPT’s program fund and will be used to advance any remaining grant requests. It is the subrecipients responsibility to verify DMV Sales Tax Exempt status.

If awarded, FTA 5310 operating assistance requires a ten percent (10%) local match. The state provides a forty percent (40%) match from the state’s paratransit funds. The federal share may not exceed fifty percent (50%) of the operating costs.

All of the local match must be provided from sources other than U.S. Department of Transportation (DOT) funds. However, local match may be derived from other Federal funds that are eligible to be expended for transportation.

GRANT PRIORITIES

DRPT established the following four funding priorities in rank order:

Priority One: To provide capital assistance to current FTA Section 5310 subrecipients for replacement vehicles where exists a continuing demand for transportation service for seniors and individuals with disabilities, a need for government subsidy, and a commitment of local financial and administrative support.

PRIORITIES
#1 Replacement Vehicles
#2 Mobility Management
#3 Operating
#4 New Projects

Priority Two: To provide capital assistance to current FTA Section 5310 subrecipients for Mobility Management where exists a continuing demand for transportation service for seniors and individuals with disabilities, a need for government subsidy, and a commitment of local financial and administrative support.

Priority Three: To provide operating assistance to current FTA Section 5310 subrecipients where exists a continuing demand for transportation service for seniors and individuals with disabilities, a need for government subsidy, and a commitment of local financial and administrative support.

Priority Four: To provide funding of new capital (including expansion vehicles), mobility management, and operating projects.

SELECTION PROCESS

Before beginning the application process, please make sure your organization is eligible to apply for the FTA Section 5310 grant. Completed applications submitted on time will be included in DRPT's competitive selection process.

Projects will be evaluated on (1) Grant Priority; (2) Project Needs / Goal and Objectives; (3) Technical Capacity; and (4) Coordination Efforts.

Additionally, DRPT will consider the following as part of its review:

- Applications for a replacement vehicle will be valued based on the vehicle's age, condition, and mileage. Applicants must identify in the grant application the vehicle identification number (VIN) of each vehicle that will be replaced. Applicants will be required to provide information on the usage of the vehicle, including ridership data, to evaluate vehicles for replacement or expansion. For grant requests for expansion vehicles, subrecipients must provide in its grant application sufficient data and analysis to demonstrate need for expansion of its rolling stock (Priority #4). The existing vehicle must also be included in DRPT's Transit Asset Management (TransAM) system.

- The applicant's service area must have a documented need for transportation for seniors and individuals with disabilities.
- The proposed service plan includes a maximum utilization of vehicles for transporting transit dependent seniors and / or passengers with disabilities in the area.
- The application includes supporting data such as ridership projections and trip purposes.
- DRPT encourages the creation of service coordination partnerships among transportation providers and/or organizations. Coordination agreements should be documented and signed by all participating agencies. Examples of written coordination agreements include memoranda of understanding (MOU) and lease agreements.
- Implementation of a sound comprehensive service management plan.
- Financial and management capabilities, particularly in assuring capital match and operating funds.

Upon completion of the evaluation process, DRPT includes the recommended applications and allocation in the Draft Six-Year Improvement Program (SYIP). The Commonwealth Transportation Board (CTB) approves the release of the draft SYIP to the public for comment in spring and following receipt of public comments, the CTB approves the final SYIP in June.

To view the SYIP, please visit the SYIP page on DRPT's website.

REQUIREMENTS AND RESPONSIBILITIES

Vehicles

The FTA 5310 program for vehicle projects is not for direct grant funding to subrecipients. DRPT will purchase all vehicles awarded using DRPT's vehicle contract. It is the responsibility of the subrecipient to complete the vehicle options sheet with the state's contractor after the grant has been awarded. Subrecipients must maintain a combined single limit of insurance coverage of at least \$1 million on FTA-funded vehicles and must submit proof of insurance annually. Subrecipients must carry enough insurance to replace any FTA funded equipment such as, van lifts, etc.

Mobility Management Projects

Mobility management grant budget requests shall not exceed two (2) employees' salaries. Employees funded under DRPT's mobility management program must primarily be responsible for understanding community's mobility needs, planning and implementing coordinated transportation, travel training, trip planning (all travel modes), and transportation arrangements to fill gaps in service for seniors and individuals with disabilities.

Marketing and advertisements of transportation and/or mobility management services may not exceed 5% of the total project cost or no more than \$5,000, whichever is less. Marketing and advertisements must be directed toward the subrecipient's clients or client groups (specifically, seniors and individuals with disabilities) and must describe or promote the transportation

services being offered. Eligible expenses include advertising, marketing, and promotional media; communication services (telephone service and postage); and printing and reproduction of marketing materials.

Other capital projects such as scheduling and trip planning software and Intelligent Transportation Systems (ITS) must be identified under the Mobility Management section of the grant application.

Note: Operating and Mobility Management grants are issued on a reimbursement basis. Costs must be incurred before payment is made. All costs charged to DRPT assisted projects must be supported by properly executed payrolls, time records, invoices, contracts, or vouchers evidencing in detail the nature and propriety of the charges. Operating expenses are reimbursed based on net operating expenses (operating expenses less fare revenues).

Ineligible Capital and Operating Expenses

Examples of ineligible expenses include but are not limited to the following:

- Transit passes or vouchers for use on existing fixed-route or ADA complementary paratransit service are not eligible
- Operating assistance for required ADA complementary paratransit service is not an eligible expense
- Indirect costs, rent, furniture, food, clothing, membership dues, training fees, vehicle insurance, and promotional giveaways are not allowable expenses
- Gas cards are not an eligible expense under any FTA program

Procurement

All items purchased using grant funds must comply with all federal procurement requirements. Before any advertisement or solicitation to purchase an item, the subrecipient must submit procurement documents to DRPT for review and approval. All Federal Contract Clauses are required to be included on proposals, contracts, and purchase orders. DRPT has developed checklists for Micro, Small and Large purchases that must be completed by the subrecipient prior to solicitation.

Independent Cost Estimate

Applicants must attach in OLGA grant application an Independent Cost Estimate (ICE) for all items, except vehicles, to be purchased using grant funds. The ICE will be used to determine the project cost. Acceptable methods to obtain an ICE include:

- Publicly published price lists
- Recently invoiced prices
- Comparable purchases by other agencies
- Outreach / market surveys
- Third Party Estimates

All ICEs must document the date of the estimate and name of person who developed it. A vendor that provides an estimate cannot be awarded the contract.

The following documents will be required for the application:

- Articles of Incorporation/Private nonprofit status
- Copy of Letter of Exemption IRS Section 501(c)(3)
- Copies of Public notices printed in area newspapers
- List of local, public, and private human service agencies contacted
- One copy of letter of notice to human service agencies
- Letters of response from human service agencies (one copy only)
- Copy of letter of notice to PDC
- Copy of letter of notice to MPO - urban area applicants only
- Copy of Vehicle Insurance Package
- Preventive Maintenance Plan and schedules
- Independent Cost Estimates (capital items)

PLANS AND RECORDS

Title VI Plan

Subrecipients are required to develop and implement a Title VI program. This plan is required prior to grant execution. For assistance with developing a Title VI plan, please contact DRPT's Civil Rights Officer.

Preventive Maintenance Plan

Subrecipients must have a written maintenance plan for vehicles and related equipment. Elements of the plan must include the following:

- Standards for proper care and longevity for the vehicles
- Procedures to maintain project equipment at a high level of cleanliness, safety, and mechanical soundness
- Procedures to maintain all accessibility features and equipment in good operating condition
- Procedures to track when preventive maintenance inspections are due and to schedule preventive maintenance inspections in a timely manner
- Maintain files that contains daily logs, inspection checklists, and repair records
- Maintain files on pre-trip inspection program that addresses vehicle condition, appearance and cleanliness, safety and ADA accessibility

Preventive maintenance records will be inspected by DRPT to ensure proper maintenance and inspections are conducted when due.

Performance Data

Subrecipients are required to submit monthly ridership data on or before the 20th business day of each month for the previous month's activity. In OLGA, select "Human Service" for closed service ridership data (service not open to the general public).

Ridership is counted as Unlinked Passenger Trips (UPT). Passengers are counted each time they board vehicles no matter how many vehicles they use to travel from their origin to their destination.

Taxicab operators must also provide passenger manifests and response times for each individual transported as part of its reimbursement backup in OLGA.

DRPT is currently developing performance measures for Mobility Management that will be implemented in FY 2019.

Asset Data / TransAM

Subrecipients are required to record and maintain accurate asset inventory and data in DRPT's Transit Asset Management System (TransAM). Mileage and service status (in service, out of service, or spare) shall be updated twice a year, once by August 1 and again by February 1.

PUBLIC NOTICE

Applicants are required to develop and publish a public notice of intent to apply for a FTA Section 5310 grant. This notice must be advertised in a newspaper of general circulation in its service area and should appear at least 14 days before the application submittal deadline. For the FY 2019 grant cycle, the public notice should be advertised by January 17, 2018. A copy of your notice printed in your local paper must be attached to the application.

Sample Public Notice

The ECHO, Inc. from Leesburg, Virginia proposes to provide transportation for people with developmental disabilities in the county of Loudoun for the purpose of transporting these individuals to and from training, and other community integration and socialization projects. Funds are being requested from the Commonwealth of Virginia to purchase a 9-passenger van with a wheelchair lift through the FTA Section 5310 Program. The vehicle will be used to transport wheelchair participants and ambulatory participants from their homes in Loudoun County to ECHO, Inc. and back to their homes from 6:00 a.m. to 6:00 p.m. We invite any interested public or private transit or paratransit operator in the Leesburg-Loudoun area to comment on the proposed services by sending a written notice by February 3, 2018, to the Virginia Department Rail and Public Transportation – Public Transportation Division, 600 E. Main Street, Suite 2102, Richmond, Virginia 23219, and to ECHO, Inc. P. O. Box 2277, Leesburg, Virginia 22075.

Note: An actual copy or reasonable facsimile of the notice as it appeared in the newspaper must be included in the application.

NOTIFICATION TO LOCAL HUMAN SERVICE TRANSPORTATION PROVIDERS

Applicants are required to contact private nonprofit human service, private and public transit providers in their service area to advise them of their intent to apply for a grant. Applicants are expected to look for opportunities to work with these other agencies to share resources and offer mutual support. It is a highest priority of the FTA Section 5310 program to ensure that the greatest amount of productivity possible will be realized for seniors and people with disabilities through these awards. It is often possible for agencies to share equipment and resources or to coordinate transportation services to eliminate duplication.

Applicants should submit (1) sample letter of notification forwarded to human service agencies in their service area. Applicants should also include a list of all human service agencies informed of your intent to apply for FTA Section 5310 funds.

Sample Letter of Notification to Local Human Service Transportation Providers

Dear Sir or Madam:

Pleasant View Home and Regional Center in Broadway, Virginia, intends to provide a fixed mini-bus route for people with developmental disabilities in the County of Rockingham, which includes the City of Harrisonburg, Towns of Broadway, Bridgewater, Dayton, Elkton, Grottoes, Mt. Crawford, and Timberville. The purpose is to transport these individuals to and from Developmental Day Programs, and other community integration and socialization projects that are deemed necessary to increase the independence of people with the developmental disabilities.

Funds are being requested from the Commonwealth of Virginia to purchase a 9-passenger van with lift through the FTA Section 5310 Program. The Commonwealth of Virginia's policy states that where possible, recipients should coordinate with other local providers who provide transportation services to enhance resource-sharing opportunities.

We invite you, as a local provider within the Harrisonburg-Rockingham area, to comment on the proposed services. We are particularly interested in exploring opportunities to work with your agency to coordinate services, share resources, or pursue other activities that will mutually benefit our transportation programs. If you are interested in exploring this further, please notify us at the Pleasant View Home and Regional Center, P.O. Box 426, Broadway, Virginia 22815. (Letters of support from human service agencies should not be sent to DRPT.)

If you have any questions, please feel free to call me.

Sincerely,

John Doe
Executive Director

INTERGOVERNMENTAL REVIEW

Non-Urbanized Areas

A regional intergovernmental clearinghouse must review FTA Section 5310 projects in non-urbanized areas. This review is obtained by submitting the project to the regional PDC. Projects must be submitted to the PDC by January 31, 2018.

The applicant is required to send a letter to its regional PDC describing its proposal for FTA Section 5310 funding. The letter must explain the type and amount of funding requested and the transportation service the applicant intends to provide. Any comments by the PDC regarding the proposal must be sent to DRPT.

Sample Letter to Planning District Commissions

Gary Christie
Executive Director
Region 2000 Planning District Commission
828 Main Street, 12th Floor
Lynchburg, VA 24504

Dear Mr. Christie:

The Central Virginia Area Agency on Aging (AAA) is seeking capital assistance from the Commonwealth of Virginia through the FTA Section 5310 program to purchase transportation equipment. As part of the application process, we are required to notify our regional planning organization and request an Intergovernmental Review of our grant request.

Central Virginia AAA is requesting funding to purchase three 9-passenger vans with lifts. Our plan is to provide demand-responsive transportation for our senior clients in the rural area, to get to agency-related activities, medical appointments, grocery stores, and other destinations. We request that you, as the regional planning body, take appropriate action to fulfill the Intergovernmental Review and direct any comments on the proposed service, by February 1, 2018, to:

Public Transportation Division

Virginia Department of Rail and Public Transportation
600 East Main Street, Suite 2102
Richmond, Virginia, 23219

If you have any questions about our proposal, please feel free to call me.

Sincerely,

John Doe
Executive Director

Urbanized Areas

Applicants in the urbanized areas must notify their Metropolitan Planning Organization ([MPO](#)) of their intent to apply for FTA Section 5310 funds.

FTA Section 5310 applicants must request that the proposed project be included in the annual element of the region's Transportation Improvement Program (TIP) after DRPT has recommended the project for approval. A TIP is a transportation plan, which must be developed for each urbanized area as a condition of funding. The comprehensive planning process results in plans and programs that are consistent with the development of the urbanized areas. The Annual Element is a list of transportation improvement projects proposed for implementation during each transportation program year. Each urbanized area has its own annual elements.

Sample Letter to Metropolitan Planning Organizations

Gary Christie
Executive Director
Central Virginia MPO
828 Main Street, 12th Floor
Lynchburg, VA 24504

Dear Mr. Christie:

The Central Virginia Area Agency on Aging (AAA) is seeking capital assistance from the Commonwealth of Virginia through the FTA Section 5310 Program to purchase transportation equipment. As part of the application process, we are required to notify our Metropolitan Transportation Planning Organization of our proposed grant request and to include the project in the annual element of the Transportation Improvement Program (TIP), if approved by DRPT.

CVAAA is requesting funding, to purchase three 9-passenger vans with lifts. The total cost of the project is approximately \$90,000.00. The federal grant is for 80 percent of the total cost with agency being responsible for the 20 percent balance.

Our plan is to provide demand-responsive transportation for our senior clients, in the Lynchburg metropolitan area, to get to agency-related activities, medical appointments, grocery stores, and other destinations.

DRPT will notify the MPO of the applications that will be considered for approval in April. At that time, we are requesting that the MPO incorporate the project in its TIP.

If you have any questions about our proposal, please feel free to call me.

Sincerely,

John Doe
Executive Director

VEHICLE MENU

Modified Minivan with wheelchair ramp (5 passengers)



High Roof Van with wheelchair lift (9 passengers)



Body on chassis vehicle with wheelchair lifts (14, 15, or 19 passengers)



*The number and location of wheelchair placements will influence seating capacity for wheelchair accessible vehicles.

SECTION 2.5 RURAL AREAS PROGRAM (FTA SECTION 5311)

This section provides a general overview of the FTA Section 5311 program, identifies who can apply, describes what types of projects could qualify for funding, and specifies terms and requirements.

The FTA Section 5311 program is authorized under the Fixing America's Surface Transportation (FAST) Act passed on December 3, 2015 (Statutory Reference: 49 U.S.C. Section 5311 / FAST Act Section 3007). The rural formula program generally maintains the structure of the "non-urbanized" formula grant program under the previous authorizing law, Moving Ahead for Progress in the 21st Century (MAP-21) Act. On November 24, 2014, the Federal Transit Administration (FTA) published final FTA Circular FTA C 9040.1G.

Please refer to FTA's [website](#) and [Circular](#) for specific compliance information and a more comprehensive FTA Section 5311 program guidance.

DESIGNATED RECIPIENT & ELIGIBLE APPLICANTS

DRPT is the designated recipient for Virginia's FTA Section 5311 program. Federal guidelines allow DRPT to offer FTA 5311 funds to eligible subrecipients. Eligible subrecipients may submit applications to DRPT for evaluation and selection.

Eligible subrecipients include:

- Local and State Government
- Transportation District Commissions
- Public Service Corporations
- Private Nonprofit Organizations
- Federally Recognized Indian Tribes

PROGRAM DESCRIPTION

Section 5311 is a FTA Formula Grants for Rural Areas program that provides capital and operating assistance to states to support public transportation in rural areas with populations of less than 50,000, where many residents often rely on public transit to reach their destinations. DRPT is the designated recipient for Virginia's FTA Section 5311 program. Eligible applicants may submit applications to DRPT for evaluation and selection.

Funds may be used for capital, operating, and administrative assistance to state agencies, local public bodies, and nonprofit organizations (including Indian tribes and groups), and operators of public transportation services.

Funding is apportioned by a statutory formula that is based on the latest U.S. Census figures of areas with a population under 50,000. The amount that Virginia may use for state administration, planning, and technical assistance is limited to ten percent (10%) of the annual apportionment. Virginia must spend at least 15 percent (15%) of the apportionment to support rural intercity bus service unless the Governor certifies that the intercity bus needs of the state are adequately met. In 2017, DRPT started a daily intercity bus route called the Virginia Breeze. The route connects Blacksburg with Union Station in Washington D.C. with stops on

the I-81 corridor. It is anticipated that the expansion of the Virginia Breeze service will be the primary use of 5311(f) funding in the future. An Operational Analysis and Expansion Study is currently underway.

PROGRAM GOALS

The purpose of the FTA Section 5311 program is to support the maintenance of existing public transportation services and the expansion of those services through the following program goals:

- a. Enhancing access in rural areas to health care, shopping, education, employment, public services, and recreation
- b. Assisting in the maintenance, development, improvement, and use of public transportation systems in rural areas
- c. Encouraging and facilitating the most efficient use of all transportation funds used to provide passenger transportation in rural areas through the coordination of programs and services
- d. Providing financial assistance to help carry out national goals related to mobility for all, including seniors, individuals with disabilities, and low-income individuals
- e. Increasing availability of transportation options through investments in intercity bus services
- f. Assisting in the development and support of intercity bus transportation
- g. Encouraging mobility management, employment-related transportation alternatives, joint development practices, and transit-oriented development
- h. Providing for the participation of private transportation providers in rural public transportation

ELIGIBLE PROJECTS

Eligible operating expenses include items such as fuel, oil, replacement tires, replacement parts, maintenance and repairs, driver and mechanic salaries and fringe benefits, dispatcher salaries and fringe benefits, and licenses. Eligible administrative expenses include items such as transit manager's salary, secretary and bookkeeper salaries, marketing expenses, office supplies, vehicle insurance, and facility and equipment rental.

Net operating expenses are those expenses that remain after operating revenues are subtracted from eligible operating expenses. At a minimum, operating revenues must include farebox revenues. Operating revenues are all revenues accrued to the benefit of the project including farebox revenue (passenger fares), charter service, and contract revenues. Farebox revenues include fares paid by passengers who are later reimbursed by a human service agency, or other user-side subsidy arrangements, but do not include payments made directly to the transit provider by human service agencies.

Eligible capital expenses include items such as buses, vans, associated capital maintenance items, communications equipment, construction or rehabilitation of transit facilities. Commuter Bus service is not an eligible expense under Virginia's FTA Section 5311 program.

GRANT MATCH REQUIREMENTS

DRPT typically funds applications at the maximum federal participation ratio of 50 percent of net operating expenses and up to 80 percent of eligible capital expenses.

APPLICATION EVALUATION PROCESS

Applicants may apply for operating assistance, capital assistance or both. Below is a description of the evaluation process for operating assistance and capital assistance.

Operating Assistance

For operating expenses, DRPT validates the expenses and revenue sources submitted on the application, determines the eligibility of listed expenses based upon the criteria noted above, requests additional data or clarification from applicants if necessary, and reviews data submitted by the applicant for the previous year and any audited financial statements. The FTA 5311 operating grant is based on total budgeted expenses less budgeted fares divided by 2 on the application.

A FTA Section 5311 recipient cannot request more 5311 operating funds during that fiscal year. At the end of the recipient's fiscal year, DRPT will request that all recipients that ended the year with a deficit, submit financial documentation such as the agency general ledger (GL), Annual Audited Financial Report (CAFR) or other financial system report. The DRPT program manager will review the documentation and, if funding is available and the request is approved, DRPT will use FTA 5311 balances to cover up to 50% of the operating deficit. Any additional needed information will be requested by the Program Manager. This review will only take place after all FTA 5311 operating grants have closed for that fiscal year.

Under FTA Section 5311 operating assistance, funds are available for operating expenses for new systems and new service for existing systems. However, any proposal to develop a new transit system or start a new service for an existing system must begin with proper planning. Local entities must develop a plan prior to requesting any FTA Section 5311 funds from DRPT. Planning funds may be applied for through DRPT's Technical Assistance Program. DRPT encourages local entities to involve DRPT in any transit system planning efforts. DRPT also has staff and consultant resources available to help manage transit system planning studies on behalf of local entities.

Transit feasibility studies are acceptable planning documents for new transit systems. Existing systems must have a completed and adopted Transit Development Plan in order to request FTA Section 5311 for new service. DRPT's Transit Development Plan requirements are available at: <https://olga.drpt.virginia.gov>. Transit Development Plans must be submitted with an existing system's FTA Section 5311 application.

DRPT will evaluate all requests for new service using the Transit Service Design Guidelines. Specifically, proposals should demonstrate how they have addressed the topics defined in Sections 1.2-1.7 of the guidelines:

- Examining all of the options
- Planning for success
- Framing the purpose and need
- Land use considerations
- Service area and transit network design
- Other important considerations (including capital and operating costs)

Proposals will also be evaluated against the typical modal characteristics provided in Section 2.0 of the guidelines.

Capital Assistance

FTA Section 5311 applications requesting capital assistance will be evaluated by DRPT using the following criteria:

- Project Justification – explanation of the need/problem that the project will address
- Planning – documentation that sufficient planning has been conducted to execute the project
- Project Scope – approach to addressing the need/problem
- Project Readiness – ability to initiate and substantially complete the project within the fiscal year the funds are being applied for
- Technical Capacity – identification of project management team and ability to execute the project
- Project Budget – ability to execute the project scope within the proposed project budget
- Project Schedule - ability to execute the project scope within the project
- Monitoring and Evaluation Plan - applicant's approach to measuring performance and evaluating the results of the requested capital project(s)

In addition to the criteria above, various tools will be used by DRPT to evaluate certain types of projects:

Replacement/Rehabilitation of Existing Capital Equipment

If capital funding is made available, eligible requests will be prioritized on the following basis:

- Replacement of worn-out or unsafe revenue vehicles
- Purchase of additional vehicles to meet demonstrated capacity problems on current routes
- Purchase of vehicles for the expansion of existing services
- Purchase of miscellaneous capital equipment

For more information, please refer to the Capital Assistance Program guidance.

Transit New Starts (new transit system or new service for an existing system) - prior to submitting an application for transit new starts with capital expenses above \$2 million, applicants should meet with DRPT to ensure that sufficient information is available to warrant an application for Capital Assistance. Submitted applications will be evaluated by DRPT using Transit Service Design Guidelines (using the process described above for operating assistance).

Upon completion of the evaluation process, DRPT includes the recommended applications and allocation in the Draft Six-Year Improvement Program (SYIP). The Commonwealth Transportation Board (CTB) approves the release of the draft SYIP to the public for comment in April and following receipt of public comments, the CTB approves the final SYIP in June.

To view the SYIP, please visit the [SYIP](#) page on DRPT's website.

APPLICATION REQUIREMENTS

Applications for all programs are made online on DRPT's Online Grant Administration website ([OLGA](#))

At the time of application submittal, applicants must sign their certifications and assurances as required by the FTA annually. See the **Federal Aid Grant Program Common Application Requirements** section under Federal Aid Grant Programs at the beginning of this chapter for more information.

Required application data includes:

- Contact information
- Total operating expenses for previous fiscal year
- Operating budget detailed by expense item, amount and classification
- Operating revenues:
 - Revenue estimates detailed by passenger revenues and non-passenger revenues
 - Capital budget detailed by budget item, quantity, unit cost, source of federal and state funds
- Certifications and resolutions (in OLGA)
- Special Section 13 (c) Warranty
- Title VI Information Update (attach a copy of agency's signed and approved (or draft) Title VI plan to the OLGA application)
- Insurance Information (vehicle, facility & equipment)
- FTA Annual Certifications and Assurances
- Resolution Authorizing the Application for State Aid for Public Transportation
- **12 month training schedule**



Virginia Department of Rail and Public Transportation

600 East Main Street, Suite 2102
Richmond, VA 23219
804-786-4440
